Animated Enchantment:

A Psychoanalytic Exploration of the Enduring Popularity of Disney's First Feature Films

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Declaration

I declare that the work presented in this thesis is my own.

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Abstract

In this thesis I explore reasons for the widespread and enduring popularity of Disney's first feature-length films (*Snow White and the Seven Dwarfs* (1937), *Pinocchio* (1940), *Dumbo* (1941) and *Bambi* (1942)). While acknowledging the historical, industrial and aesthetic features that have contributed to their success, my argument is that the continuing fascination of these films is in large part attributable to the manner in which they engage the spectator and evoke unconscious concerns about family cohesion, interpersonal conflicts and the death of parents.

My investigation begins with an analysis of the films' prefilmic provenance and narrative characteristics, placing an emphasis on the role of their narrative and extra-narrative components as embodying social, pedagogical and psychological meanings. In order to explore how the films engage with the spectator's unconscious mind, I employ a number of Freudian and post-Freudian psychoanalytic concepts. The post-Freudian models include that of Jacques Lacan and those based on object-relations theory, particularly as developed by Melanie Klein and Donald Winnicott. These conceptual models are used to explore the content of the films, while that of Winnicott is also used to explore the visual fascination of the form Disney gave them.

Although these films were designed for family viewing, and many of the more distressing aspects of their original stories were toned down in Disney's adaptations, the films portray a remarkably dystopic version of family life, of childhood and of growing up. Moreover, psychoanalytic investigation suggests that concealed within the films' attractive animation, music and humour, there lie recurrent ruminations on anxieties about death caused by germs (*Snow White and the Seven Dwarfs*) and old age (*Pinocchio*) and about culpability for injury (*Dumbo*) and death of mothers (*Bambi*). I conclude that the films reward the spectator by offering her/him the opportunity to engage with, fantasise about and work through the problems encountered by the films' protagonists.

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Chapter 1 Introduction

In this thesis I explore reasons for the widespread and enduring popularity of Disney's early feature-length animated films (*Snow White and the Seven Dwarfs* (David Hand 1937), *Pinocchio* (Hamilton Luske, Ben Sharpsteen 1940), *Dumbo* (Ben Sharpsteen 1941) and *Bambi* (David Hand 1942)). I argue that the continuing fascination that these films have had for each new generation of viewers is in large part attributable to the way they engage with conscious and unconscious psychic processes of their spectators. While I am aware of the multiplicity and diversity of the films' viewers, based, for example on demographic, racial, class and gender differences, it is beyond the scope of this thesis to examine the reception of the films in all these contexts. My argument is limited to the persistence of the films within the context of Western society.

This thesis constitutes an interdisciplinary enquiry located at the intersection of film studies, literary studies and psychoanalysis. While I acknowledge the historical, industrial and aesthetic features that have contributed to the success of these films, I open my investigation with an analysis of their prefilmic provenance and narrative characteristics and place emphasis on the role of their non-narrative components as embodying social, pedagogical and psychological meanings. In exploring the spectator's engagement with the films, I employ a number of Freudian and post-Freudian psychoanalytic concepts. The key features of the interpretative part of my study are, firstly, an investigation of the films' stories, particularly as they embody, and evoke in their spectators, unconscious concerns about family cohesion, intergenerational conflicts and the death of parents and, secondly, issues of spectatorial engagement, particularly

as they relate to the pleasures experienced by children and their families as they watch these animated films.

The films considered in this thesis were designed as family entertainment.[1] Noel Brown characterises the Hollywood family film as one that is designed to be enjoyed by the whole family, equally by a child and her or his parents and grandparents. He argues that the 'family film' is designed to avoid cultural and biological barriers to the viewer's enjoyment, such as might be raised by issues of age, gender or race. Walt Disney specifically addressed the question of the intended audience of his animated feature films in his answer to an enquiry about the age group for which *Snow White and the Seven Dwarfs* was made: 'Before seven or eight,' [Walt Disney] told a reporter in 1938, 'a child shouldn't be in a theater at all. But I didn't make the picture for children. I made it for adults – for the child that exists in all adults'.[2] Walt Disney's notion of 'the child that exists in all adults' is a non-technical formulation that is closely aligned with the concept of the British psychoanalyst Donald Winnicott (1861–1971) of an 'intermediate area of psychic experience…that constitutes the greater part of the infant's experience, and *throughout life* is retained in the intense experiencing that belongs to the arts and to religion and to imaginative living, and to creative scientific thought.[3] The concept of an intermediate area of psychic experience (intermediate between the experience of the external world and that of the internal personal world of the unconscious mind) that functions throughout life is a key feature of Winnicott's psychoanalytical account of child development and

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[1] Noel Brown, *The Hollywood Family Film: A History, from Shirley Temple to Harry Potter*. London: I.B. Tauris, 2012: 1–276.
[2] quoted in Michael Barrier, *The Animated Man: A Life of Walt Disney*. Berkeley: University of California Press, 2007: 131.
[3] Winnicott, 'Transitional Objects and Transitional Phenomena', *Playing and Reality*, Abingdon: Routledge, 2005 [1953]: 19, my emphasis.

personal creativity and it is discussed in detail later in this chapter. It is this component of psychic experience that, I argue, underpins the success of the dual address that Disney's animated family feature films make – an address made simultaneously to adults and to children. Winnicott's psychoanalytic concept is mentioned here to give emphasis to, and provide reasons for, the way the term spectator is understood in this thesis: as a position offered by and evidenced by the film text, one that is open to children but to adults (as children) as well. The term 'spectator' is therefore used in this thesis in the sense widely employed in Film Studies, to imply a psychological or psychoanalytic approach to elucidation of the cinematic experience. The term 'audience' is used to imply a more sociological and empirical approach that focuses on actual viewers, with their multifarious differences that are grounded in real rather than 'imagined' conditions of life.[4] This thesis is predominately concerned with the spectator and her/his cinematic experience and when reference is made to audiences, it is in the latter sense that the term is used.[5]

Four of the films feature youngsters growing up (*Snow White and the Seven Dwarfs*, *Pinocchio*, *Dumbo* and *Bambi*) while *Fantasia* (James Algar et al. 1941) is a portmanteau film that provides animated images to accompany several pieces of classical music. Several of the sequences of *Fantasia* are abstract and, in contrast to the others, the film does not have a single narrative thread. This

[4] Michele Aaron, *Spectatorship: The Power of Looking on (Short Cuts)*. London: Wallflower Press, 2007: 1–139.

[5] Examples that illustrate audience research include an enquiry into the relationship of the number of people attending the initial screenings in the USA of *Snow White and the Seven Dwarfs* to the prevailing weather conditions. No correlation was found (Eric Smoodin, *Snow White and the Seven Dwarfs*, BFI Film Classics (Basinstoke, Hampshire: Palgrave MacMillan in partnership with British Film Institute, 2012: 84). Comparison of the frequency with which people who had seen that film when it was first released in England who recalled its name many years later with the frequency with which people recalled the names of other films they had seen as children is another example. The Disney film was found to be the more memorable (Kuhn, Annette. 'Snow White in 1930s Britain', *Journal of British Cinema and Television*. 7.2. 2010: 183–99.)

thesis focuses on the first four films mentioned above. They were the first films seen by large numbers of people (including myself), they are widely recognised as representing 'The Golden Age of American Animation' [6] and despite their often disturbing content, they have proven popular with several generations of spectators.

Before proceeding, it is necessary to define how the relationships of Disney-the-man to Disney-the-enterprise and of both to the Disney films are treated in this thesis. I use the name Walt Disney to indicate Disney-the-man and the name Disney to indicate the organisation that included Walt Disney, the studio and other components of the enterprise, such as the theme parks. Thus Walt Disney commissioned a translation from the Italian of Carlo Collodi's book *The Adventures of Pinocchio* and selected Milt Kahl to animate the part of Pinocchio but Disney made the film *Pinocchio* and ensured that artefacts arising therefrom were merchandised in Disneyland and elsewhere.

Disney's earliest feature-length animated films were made in the years immediately preceding the entry of the Unites States of America into World War II in December 1941. The initial critical response to the films was overwhelmingly celebratory, as shown, for example, in a series of contemporary journalistic articles that have been reproduced in the book *Disney Discourse: Producing the Magic Kingdom* [7] and in a detailed study of their artistic qualities by Robert Field, a former professor of art from Harvard University.[8] Over the following twenty-five years a more circumspect attitude developed, heralded by the publication of a

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[6] Thomas, Frank and Ollie Johnston. *The Illusion of Life: Disney Animation*. New York: Hyperion, 1981: 24.
[7] Eric Smoodin*, Disney Discourse: Producing the Magic Kingdom*. London: Routledge, London, 1994: 1–270.
[8] Robert Field, *The Art of Walt Disney*. London: Collins, 1945: 1–290.

series of critical evaluations of the films and the corporation, summarised by Lucy Rollin, [9] followed by an unrelentingly revisionist account of the man and his work[10] and a frankly hostile biography.[11] In recent years, much of the critical evaluation has appeared in more scholarly biographies of Walt Disney, based on privileged unrestricted access to the archives of the Disney company[12] or on interviews with key members of Walt Disney's staff conducted over many years.[13] In *The Magic Kingdom, Walt Disney and the American Way of Life*, Steven Watts, writing sympathetically and from the perspective of a cultural historian, emphasises Walt Disney's instinctive populism, which he considers was shaped by the attitudes of the provincial Midwest and his experience of the Depression.[14] Walt Disney's populism glorified the American people and assumed a strongly egalitarian cast of mind that, Watts argues, was untutored, emotional and spontaneous rather than programmatic, systematic and articulate. For an example of Watts' assessment, one might cite his reading of *Snow White and the Seven Dwarfs* as a sentimental film that incorporates social themes such as the triumph of the underdog, the value of hard work and the virtue of community among the common people (that is, the Dwarfs). Watts perceives Snow White as an outsider, a victim of the Queen's jealousy, who has been toppled from a high position and subdued by forces over which she has no control. [15]

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[9] Lucy Rollin, 'Fear of Faerie: Disney and the Elitist Critics', *Childrens Literature Association Quarterly* 12.2. 1987: 90–93.
[10] Richard Schickel, *The Disney Version: The Life, Times, Art and Commerce of Walt Disney* 3rd edn. Chicago: Ivan R.Dee, 1997: 1–391.
[11] Marc Eliot, *Walt Disney: Hollywood's Dark Prince*. London: Andre Deutsch, 1994: 1–312.
[12] Neal Gabler, *Walt Disney: The Triumph of the American Imagination.* New York: Alfred A. Knopf, 2006: 1–851.
[13] Barrier, *The Animated Man*. pp. 1–393.
[14] Steven Watts, *The Magic Kingdom: Walt Disney and The American way of Life*. New York: Houghton Mifflin Company, 1997: 1–526.
[15] Watts, *Magic*, p. 83.

These films have been popular ever since their first release, as shown by their immediate reception and their frequent rerelease for both cinema and home entertainment, by their recent issue in DVD and Blu-Ray format with digitally remastered sound and vision and by their continuing penetration of the domestic and international home entertainment markets (details for each of the films are provided in Chapters 3 to 6). Viewers watching these films today see hand-painted two-dimensional animated films in contrast to the computer-generated three-dimensional images (in appearance) of contemporary animated films; moreover they hear music and singing in a style that has become very dated. Nevertheless, the films continue to attract viewers and critical acclaim, despite their having been made as long as three-quarters of a century ago. Among the several examples of continuing interest in the Disney oeuvre might be cited the comprehensive exhibition of Disney's art in the Galeries nationales du Grand Palais in Paris in 2006 and in the Musée des beaux-arts in Montreal the following year[16] and the British Film Institute's year-long celebratory screenings of all fifty of Disney's animated feature films in 2011. Three comprehensive treatises on fairy tale films, each of which places a special emphasis on Disney's animated feature films, have recently been published[17] as have two scholarly books devoted solely to *Snow White and the Seven Dwarfs.*[18]

While Watts' emphasis on Walt Disney's role as a spokesman for 'the American Way of life' is convincingly developed, his reading's illumination of the

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[16] Bruno Girveau, Lella Smith, Pierre Lambert, Charles Solomon, Robin Allan, Holly Crawford, and Dominique Paini. *Il était une fois Walt Disney: aux sources de L'art des Studios Disney*. Paris: Réunion des musées nationaux, 2006.
[17] Pauline Greenhill and Sidney Eve Matrix. *Fairy Tale Films: Visions of Ambiguity*. Utah State University Press. Logan, 2010; Kristian Moen, *Film and Fairy Tales: The Birth of Modern Fantasy*. London: I.B. Tauris, 2013: 1–304; Jack Zipes, *The Enchanted Screen: The Unknown History of Fairy-Tale Films*. Abingdon: Routledge, 2011: 1–435.
[18] J.B. Kaufman, *The Fairest One of All: The Making of Snow White and the Seven Dwarfs*. London: Aurum Press, 2012: 1–320; Smoodin, *Snow White*.

worldwide and enduring success of the films is necessarily limited. Janet Wasko, in her book *Understanding Disney*, writes less sympathetically and from the perspective of a political economist of communication.[19] She has studied the operations of the Disney company, its enterprise and its role as a national and international exemplar of Western capitalism. In focusing on its cohesion, power and penetration, she notes the company's comprehensive marketing of many different consumer products with every film, the promotion of each of the commodities supporting the other. Even the 'seventieth-anniversary' DVDs of the four films considered here, and the DVDs of the *Collectable Walt Disney Treasures,* contain multiple advertisements for soon-to-be-released films, examples cited to acknowledge that promotional possibilities have never been neglected by corporation Disney. There are other examples to be found in Wasko's book because, as Richard Schickel puts it '… [the Disney corporation] process everything but The Mouse's squeal'.[20] While I agree with Wasko that more work is required to link textual interpretation to corporate imperatives, her analysis lacks an answer to the question posed in this investigation.

Other studies have provided historical perspectives on Disney's animated feature films[21] and emphasised their patriarchal[22] and conservative[23] political

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[19] Janet Wasko, *Understanding Disney: The Manufacture of Fantasy*.Cambridge: Polity Press, 2001: 1–261.
[20] Schickel, *Disney*, p. 22
[21] Michael Barrier, *Hollywood Cartoons: American Animation in its Goolden Age.* Oxford:Oxford University Press, 1999: 1–648. Eric Smoodin, *Animating Culture: Hollywood Cartoons from the Sound Era*, Oxford: Roundhouse Publishing, 1993: 1–216. Paul Wells, *Animation and America*, Edinburgh: Edinburgh University Press, 2002: 1–185.
[22] Elizabeth Bell, Lynda Haas and Laura Sells, *From Mouse to Mermaid*: *The Politics of Film, Gender, and Culture*. Indiana University Press, Bloomington, 1995. Eleanor Byrne and Martin McQuillan, *Deconstructing Disney*. Pluto Press, London, 1999. Amy M. Davis, *Good Girls and Wicked Witches: Women in Disney's Feature Animation*. Eastleigh: John Libby, 2006: 1–274; Greenhill and Matrix. *Fairy;* Stone, Kay. 'Things Walt Disney Never Told Us', *The Journal of American Folklore* 88.347. 1975: 42–50.

attitudes, attitudes that are succinctly encapsulated in the words of John Canemaker: 'Disney's dazzling technique, his famous "magic," blinds most audiences to the many regressive messages within his works. His simplistic ideology and idyllic visions continue to soothe and reassure people confused and alarmed by the chaos and insecurity of our times'.[24] On the other hand, despite Walt Disney's well attested anti-labour attitudes, in the years bracketing Disney's industrial problems, his studio did release two short cartoons (*Moving Day* (Ben Sharpsteen 1936) and *The Riveter* (Dick Lundy 1940)) which are sympathetic to those whose homes have been repossessed when they cannot pay the rent and to alienated industrial workers.[25] It is reasonable therefore to propose a more nuanced view of the political attitudes on show in Disney's films, as becomes apparent in *Snow White and the Seven Dwarfs,* in which themes of solidarity and cooperation occur in every work scene in the film.[26]

Walt Disney's role as the *auteur* of his studio's films has been argued persuasively,[27] as have the films' artistic qualities and the European provenance

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[23] Lee Artz, 'The Righteousness of Self Centred Royals: The World According to Disney Animation', *Critical Arts* 18.1. 2004: 116–46. Schickel, *Disney*; Robert Sklar, 'The Making of Cultural Myths – Walt Disney', in Danny Peary and Gerald Peary (eds) *The American Animated Cartoon: A Critical Anthology*.New York: E.P.Dutton, 1980: 59–65; Jack Zipes, 'Breaking the Disney Spell', in Elizabeth Bell, Lynda Haas, and Laura Sells (eds) *From Mouse to Mermaid: The Politics of Film, Gender and Culture*. Bloomington: Indiana University Press, 1995: 21–42.

[24] John Canemaker, 'Disney, Walter Elias' in G. Crowdus, *The Political Companion to American Film* [n.p.]: Lakeview Press, 1994: 110–15.

[25] Eric Smoodin (ed.), 'Introduction: How to Read Walt Disney', *Disney Discourse: Producing the Magic Kingdom*. London: Routledge, 1994: 1–20. In *The Riveter*, Donald Duck sings 'Heigh Ho! Heigh Ho! It's off to work we go', which is the Dwarfs' marching song in *Snow White and the Seven Dwarfs*.

[26] Terri M. Wright, 'Romancing the Tale: Walt Disney's Adaptation of the Grimms' "Snow White"', *Journal of Popular Film and Television* 25.3. 1997: 98–108. For example, to encourage the animals in their work of cleaning up the Dwarfs' cottage, Snow White urges them to 'Whistle while you work' and sings that 'cheerfully together we can tidy up this place.'

[27] Paul Wells, *Animation: Genre and Authorship*. London: Wallflower, 2002: 1–144.

of their mise-en-scène.[28] Their relationship to nature[29] and to the canonical fairy tales on which many of them are based have been thoughtfully explored.[30] These studies have certainly illuminated Disney's contribution to cinema and, together with others having a specific focus on the particular films investigated here, are discussed further in Chapters 3 to 6. At this stage, Disney's place in film animation might be summarised by noting that for many years other animators sought either to emulate his studio's accomplishments or to define themselves by reacting against it.[31] The imitative 'Merrie Melodies' and 'Loony Tunes' cartoons produced by the Warner Bros. studio provide an example of the former and the Fleischer brothers' 'Betty Boop' series an example of the latter: in the Fleischers' films, for instance, the representation of race was less prejudiced and that of female sexuality more adult than in the Disney films.[32] Moreover the musical accompaniment of the Fleischers' films tended to be African-American jazz rather than the middlebrow homogenisation of European classical musical styles favoured by Disney.[33]

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[28] Robin Allan, *Walt Disney and Europe: European Influences on the Animated Feature Films of Walt Disney.* Bloomington: Indiana University Press, 1999: 1–304; Barrier *Hollywood*; Christopher Finch, *The Art of Walt Disney: From Mickey Mouse to the Magic Kingdoms*. Burbank: Walt Disney Productions, 1975: 1–160; Maureen Furniss, *Art in Motion: Animation Aesthetics*, revised ed. Eastleigh: John Libby Publishing, 2007: 1–276; Norman M. Klein, *7 Minutes: The Life and Death of the American Animated Cartoon*. London: Verso, 1993: 1–284; Thomas and Johnston, *Illusion*.

[29] David Whitley, *The Idea of Nature in Disney Animation*, Ashgate Studies in Childhood: 1700 to present, Aldershot, Hampshire: Ashgate Publishing, 2008: 1–154.

[30] Haase, Donald P. 'Gold into Straw: Fairy Tale Movies for Children and the Culture Industry', *Lion and the Unicorn* 12.2. 1988: 193–207; Roger Sale, *Fairy Tales and After: From Snow White to E.B. White*. Cambridge, MA and London: Harvard University Press, 1978: 1–280; Jack Zipes, 'The Oxford Companion to Fairy Tales',Oxford University Press, Oxford, 2000.

[31] Paul Wells, *Animation and America*, pp. 1–185.

[32] Smoodin, *Snow White*, p. 54

[33] In the Fleischer brothers' cartoon *Snow White* (Dave Fleischer, 1933), Koko's rendition of St. James' Infirmary Blues was sung by Cab Calloway, the famous African-American jazz singer and bandleader.

It is when turning to the films as narrative texts that one begins to glean some insight into what might explain the widespread attraction the films have exerted over so many generations of spectators. Although designed for family viewing, Disney's earliest feature films portray a remarkably dystopic version of family life, of childhood and of growing up. For example, Snow White is a princess with a stepmother who is envious of her and from whose murderous intentions she has to escape; no reference is made in the film to her birth parents. Pinocchio is a wooden marionette carved and painted by a toy maker and magically imbued with life by a fairy; he has no parents in the traditional sense. Dumbo, a baby circus elephant, is brought into the world by a stork; he has no father and is soon forcibly separated from his doting mother. Bambi is a fawn who lives in a forest; though nurtured by both parents during his infancy, his mother is killed when he is very young. The protagonists of these stories are therefore forced to make their way through childhood and into adult life without the support of traditional family structures. By identifying with, fantasising about and working through the problems their protagonists encounter,[34] the spectator gains the opportunity to reencounter the powerful unconscious anxieties the films evoke, while retaining a sense that s/he has some control over them the second (or third or fourth) time around.

The argument that the appeal of these films is most readily understood by considering their engagement with the spectator's conscious and unconscious mind prompts a consideration of psychoanalytic film theory and how it might help us to understand the films' enduring popularity. Although Sigmund Freud himself never engaged with cinema, and not one of his twenty-two papers dealing with

[34] Sigmund Freud,1914 'Remembering, Repeating, and Working Through', in Mark Edmundson (ed.) *Beyond the Pleasure Principle and Other Writings.* London: Penguin 2003: 31–42

works of art, literature or the general problems of artistic creativity was concerned with film, psychoanalysis has maintained an important place in film theory[35] despite the strongly held reservations expressed by certain film scholars.[36] In the Introduction to his book *Psychoanalysis and Film,* Glen Gabbard lists seven 'time honoured' methodological approaches to psychoanalytical film evaluation.[37] The first, which features centrally in the present investigation, is to invoke the film's underlying cultural mythology,[38] for example, that of the Oedipus legend. The second is to consider films as reflecting the film-maker's subjectivity, an explicitly auteurist position that privileges the artist over the art object: here, such an approach would attempt to link interpretation of the films with events in Walt Disney's childhood and his intimate relationships with his parents and siblings. Notwithstanding the 1750 pages of biographical information on Walt Disney published in scholarly books in the last twenty years, the subjectivity to which Gabbard refers remains inscrutable.

Gabbard goes on to consider film as reflective of a universal developmental moment or crisis, vicariously experienced by the film's spectators. Here the type of question that is asked is whether films might usefully be read as evoking in the spectator a fantasy, for example, of unresolved Oedipal desires.[39] As will become evident, this is the type of approach mainly taken in this thesis for interpreting the films' stories. Deploying Freud's concept of dreamwork in

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[35] Robert Lapsley and Michael Westlake, *Film Theory: An Introduction* 2nd edn. Manchester: Manchester University Press, 2006: 1–317; Robert Stam, *Film Theory, An Introduction*. Oxford: Blackwell Publishing, 2000: 1–381.
[36] For example, David Bordwell considers 'the Freudian tradition [is] one of the great intellectual train wrecks of the twentieth century' (David Bordwell, *The Cinema of Eisenstein* 2nd edn. Abingdon: Routledge, 2005: 1–344: esp. xiv).
[37] Glen. O. Gabbard (ed.) *Psychoanalysis and Film*, London: Karnac Books, 2001: 1–16.
[38] Robert B. Ray, *A Certain Tendency of the Hollywood Cinema, 1930–1980* (Princeton, NJ: Princeton University Press, 1985: 1–424.
[39] Elizabeth Cowie, 'From Fantasia 1990', in Anthony Easthope (ed.) *Contemporary Film Theory*. Harlow: Pearson Education, 1993 147–61.

understanding filmic narrative is another approach identified by Gabbard and, notwithstanding the provisos noted below, it can be illuminating to investigate latent meanings in the stories depicted on the screen.

Conscious or unconscious appropriation of psychoanalytic constructs by the film-maker and psychoanalysis of characters in the narrative are further methodologies identified by Gabbard. In the former case, there is a scene in *Dumbo* in which Dumbo's friend and mentor, Timothy Mouse, successfully persuades the circus Ringmaster to employ Dumbo in a particular act by using hypnosis to introduce the idea into his 'subconscious mind' (sic); I find no other such examples, however, in the films under discussion. With regard to the latter, a striking warning against attempting psychoanalysis of a character in a narrative, albeit in literature rather than in film, is contained in the remarks of the literary scholar Maud Ellmann concerning Ernest Jones' study of *Hamlet and Oedipus:*[40] 'Jones' reading makes the fundamental error of treating Hamlet as a real person, vexed by unconscious impulses unfathomable even to the text itself… Amusing as it is to speculate about his early history, Hamlet *never had a childhood'.*[41] No attempt is made in this thesis to psychoanalyse characters on the screen.

Lastly, Gabbard offers an assessment of *The Crying Game (*Neil Jordan 1992) through the perspective of 'spectatorship'.[42] Gabbard's approach to films in general, and to *The Crying Game* in particular, draws upon Freudian and

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[40] Ernest Jones, *Hamlet and Oedipus*. London: Victor Gollancz, 1949: 1–166.
[41] Maud Ellmann (ed.) 'Introduction', *Psychoanalytic Literary Criticism*. London: Longman, 1994 1–35, see esp. p. 3, emphasis in original. Intriguingly Esther Leslie (a theoretician of aesthetics) discusses an article by the writer and poet Jean Prévost published in 1938 in the French journal *Vendredi*, concerning Disney's artistic antecedents, entitled *'Walt Disney, the Man Who Never Had a Childhood*' (emphasis in original). Esther Leslie, *Hollywood Flatlands: Animation, Critical Theory and the avante-garde*. London: Verso, 2002: 1–344, see esp. p. 215
[42] Glen O. Gabbard (ed.) 'Neil Jordan's *The Crying Game*, Psychoanalysis and Film', *International Journal of Psychoanalysis*, London: Karnac, 2001: 63–68.

Lacanian precepts to elucidate hidden or repressed meanings in the film text. Given his role in the *International Journal of Psychoanalysis* (he was for four years its (founding) film-review editor) one may take Gabbard's approach to exemplify the thinking of many psychoanalysts as they apply their clinical skills to the interpretation of films. It is, however, the application of psychoanalysis to the *cinematic experience* that has proven more fruitful to scholars of Film Studies and which is adopted here.

An important development in this line of argument was provided by the Marxist and structuralist writer Louis Althusser who proposed that, as members of society, we are subject throughout our lives to structures such as language, cultural codes and conventions and to various state institutions.[43] The last of these includes repressive agencies that establish order through force, such as the army and the police but also institutions with ideological agendas that establish order through consent, such as the state's religion, its educational programme, the family and, increasingly, the media. It is through such structures, or Ideological State Apparatuses, argues Althusser, that we are interpellated as social subjects, which is to say, that our subjectivity is constructed by the prevailing ideology and we are unwittingly persuaded to take up our 'appropriate' role in society. In Althusserian terms, the notion of independent agency – for example, Pinocchio's claim that 'I've got no strings to hold me down' – is illusory, albeit an illusion fostered by the very apparatuses we are considering.

In this model, cinema may be regarded as functioning as an Ideological State Apparatus and, indeed, there is an intention to the film industry which, in capitalist economies, is to fill cinemas and thereby profit financially from making

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[43] Louis Althusser, 'Ideology and ideological state apparatuses',in *Lenin and Philosophy and Other Essays.* London: New Left Books, 1971: 121–73.

films – a position which, as noted earlier, has been comprehensively embraced by the Disney enterprise. Cinema, especially although not exclusively classical Hollywood cinema, may be considered to interpellate the film spectator by binding her and his desires within the dominant ideological position while, at the same time, concealing the process from the spectator through the use of the 'invisible' style of editing (as will be described below). Every film is political, argue Jean-Luc Comolli and Jean Paul Narboni, who go on to insist that the film-maker

> from the very first shot, [is] encumbered by the necessity of reproducing things not as they really are but as they appear when refracted through the [dominant] ideology. This includes every stage in the process of production: subjects, 'styles', forms, meanings, narrative traditions: all underlie the ideological discourse.[44]

The 'apparatus of cinema' includes the production, marketing, projection and reception of films. Psychoanalytic film theory has attempted to identify and understand the factors that bring spectators back to the box office by making watching films pleasurable and rewarding. It is of note that in apparatus theory, the assumption is made that films are watched in cinemas. Such an assumption however is not warranted these days because many people now watch films on multichannel digital televisions, home computers, digital tablets and mobile telephones – all of which devices have high-speed connections to the internet that permit streaming and downloading films – or they watch films on DVD or Blu-Ray disks that cost less to rent than the price of a seat at the local cinema. In her recent study of the impact of the modern digital technology on film spectatorship, Laura Mulvey argues that the equipment on which films are now so often

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[44] Jean-Luc Comolli and Jean Paul Narboni, 1969, 'Cinema/Ideology/Criticism', in Jane Hollows, Peter Hutchins, and Mark Jankovich (eds) *The Film Studies Reader*. London: Bloomsbury Academic, 2000: 197–200, esp. p. 198.

watched invites the viewer into the world of private spectatorship.[45] Modern digital and electronic equipment allows the spectator to watch films free from the constraints of the cinema theatre, to slow down or stop the film, to skip boring or frightening parts and to return to and repeat interesting and pleasurable sequences. With digital viewing, Mulvey concludes, the 'loss of ego and self-consciousness that has been for so long one of the pleasures of the movies gives way to an alert scrutiny and scanning of the screen'.[46] The implications of this model of an active spectator, or to use Mulvey's term, of a pensive spectator, for exploring present day viewers' spectatorial engagement with the films under discussion is discussed later in this chapter in relation to the contribution of object relations to psychoanalytic film theory.[47]

One of the remarkable attributes of the cinematic experience is the sense of reality imparted to the spectator by the two-dimensional images projected onto the screen. Actually this sense of reality may be considered 'more-than-real' and to reflect a particularly charged relationship that we have with film.[48] Indeed so powerful is this relationship, that is, so constructed is our appreciation of cinematic style, that shooting films that aim to represent historical events in black and white rather than in colour may enhance the viewer's sense of historical veracity; familiar examples include *Battle of Algiers* (Gillo Pontecorvo 1966), *Schindler's List* (Steven Spielberg 1993) and *Good Night and Good Luck* (George

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[45] Laura Mulvey, *Death 24X a Second: Stillness and the Moving Image*. London: Reaktion Books, 2006: 1–216, esp. p.102
[46] Mulvey, *Death*, p. 165
[47] While the films under consideration were, of course, made many decades before the development of digital technology, it is likely that many of today's viewers watch the films using one or other of the devices to which Mulvey refers.
[48] Jean-Louis Baudry, 1975, 'The Apparatus: Metapsychological Approaches to the Impression of Reality in Cinema', in Gerald Mast, Marshall Cohen, and Leo Braudy (eds) *Film Theory and Criticism. Introductory Readings*, 4th edn. Oxford: Oxford University Press, 1992: 690–707.

Clooney 2005). Rather than searching for the origin of the reality-effect in the *content of films*, Jean-Louis Baudry regarded it as a feature of the cinematic apparatus. Considering the processes of cinema to mimic the workings of the unconscious, he offered a psychoanalytic account of the hyper-reality we experience in films, an account which he based on Freud's theories of dreaming.

Because of the several analogies he detected between the experience of dreaming and of watching films (reduced mobility, darkened rooms, lack of reality testing, the dominant role of images and the more-than-real impression of reality), Baudry adapted the idea of the psychoanalyst Bertram Lewin of the 'dream screen' to his model of the cinematic apparatus.[49] According to Lewin, the dream screen is the dream's hallucinatory representation of the mother's breast on which the child used to fall asleep after nursing. Considered thus, the dream screen represents complete satisfaction. Lewin proposed that the dreamer, via the dream screen, regresses to and relives a stage of psychosexual development, termed primary narcissism, in which self and environment merge and in which perception and representation are as yet undifferentiated.[50] This regression, 'the motor of the cinematic apparatus just as it is the motor of the dream apparatus',[51] satisfies a desire to return to the sensation of undifferentiated wholeness that gives the dream imagery and, by analogy, the cinema-screen image, their special charge and, so it is argued, accounts for the intensity with which we regard them both. Baudry was careful to emphasise that

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[49] Bertram D. Lewin, 'Sleep, the Mouth and the Dream Screen', *Psychoanalytic Quarterly* 15.4. 1949: 419–434. See also Robert T. Eberwein, *Film and the Dream Screen: A Sleep and A Forgetting*, Princeton, NJ: Princeton University Press, 1984: 1–247.
[50] Jean Laplanche and Jean-Bertrand Pontalis, *The Language of Psycho-Analysis*. London: W.W. Norton, 1973: 1–510, esp. p. 337.
[51] Noël Carroll, 1988, 'Jean-Louis Baudry and "The Apparatus" in Film Theory and Criticism' in Gerald Mast, Marshall Cohen, and Leo Braudy (eds) *Introductory Readings,* 4th edn. Oxford: Oxford University Press, 1992: 708–24, esp. p. 713.

films are not mistaken for dreams, rather he construed them as simulations of dreams. Nonetheless, by proposing that the apparatus of cinema taps into our subjectivity, Baudry's account provides an understanding of the special quality of looking-at-films as compared, say, with looking at other art objects.

Christian Metz developed further the psychoanalytic model of looking-at-films by reference to Lacan's mirror stage.[52] Jacques Lacan (1901–1981) had proposed that when, sometime between the ages of six and eighteen months of life, the infant is lifted up to see his own image reflected in a mirror, he *(sic)* experiences the joy of seeing himself as complete.[53] The infant imagines himself more adult, more fully formed and more autonomous than he really is. In this model, the sense of self is therefore constructed in a moment of recognition (the mirror's reflection) and misrecognition (the child's acceptance of the realities of infancy).[54] For Lacan, the mirror phase is 'a crucial moment in the formation of subjectivity because [Lacan suggests] the infant's first view of himself as reflected in a mirror is a prior condition for a self as separate from Other, a separation grounded in looking and seeing'.[55] While Baudry had argued that the screen-spectator relationship reactivates the experience of the mirror phase (one might cite, for example, the cinema spectator's identification with the larger-than-life characters on the screen), Metz accepted that the cinema screen is not reflective; the spectator's absence from the screen means his gaze cannot be returned, thus positioning him voyeuristically in a situation of lack.

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[52] Christian Metz, 1975, 'Identification, Mirror' in G. Mast, M. Cohen, and Leo Braudy (eds) *Film Theory and Criticism: Introductory Reading*, 4th edn. Oxford: Oxford University Press, 1992: 730–41.
[53] Jacques Lacan (ed.) 1949, 'The Mirror Stage as Formative of the Function of the *I* as Revealed in Psychoanalytic Experience', *Ecrits: A Selection*. London: Routledge, 2001: 1–8.
[54] Sean Homer, *Jacques Lacan*. Abingdon: Routledge, 2005: 1–155.
[55] Annette Kuhn and Guy Westwell, *A Dictionary of Film Studies*. Oxford: Oxford University Press, 2012: 1–516, esp. p. 220.

This unconscious sense of lack is amplified by Freudian notions of the child's fantasies about his mother's phallic lack and his need to disavow or fetishise it.[56] The experience of cinema, Metz argued, replays these responses to the Oedipal crisis, in that the spectator believes in the existence of what is represented on the screen while knowing it does not actually exist (cinema as disavowal); knowing that the prefilmic diegesis is missing, the spectator compensates for its absence by an extreme love of cinema (cinema as fetish). The notion of cinematic disavowal echoes the familiar concept of the 'willing suspension of disbelief' which, as noted by Murray Smith,[57] lies at the very heart of the cinematic experience: the spectator knows that the two-dimensional images of the hero and heroine on the screen are but simulacra but at the same time engages with them, happily when they succeed, sadly when they fail, fearfully when they are in danger. The requirement to suspend disbelief, which we cannot, of course, consciously will ourselves to do,[58] is particularly apparent when films are projected in black and white – apart from during the brief periods of twilight at dawn and dusk, none but the completely colour-blind ever experiences the world in this way. An analogous situation with hearing occurs when we watch silent films. In the case of animated films, the need to suspend disbelief is yet more compelling, since in drawn animation, for instance, we are dealing with two-dimensional drawings of objects that in real life are often incapable of assuming the shapes and performing the actions displayed on the

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[56] Sigmund Freud, 1927, 'Fetishism', in Mark Cousins (ed.) *The Unconscious*. London: Penguin Books, 2005: 93–99.
[57] Murray S. Smith, *Engaging Characters: Fiction, Emotion, and the Cinema*. Oxford: Clarendon Press, 1995: 1–265, esp. p. 42.
[58] Phyllis Creme, 'The Playing Spectator', in Annette Kuhn (ed.) *Little Madnesses: Winnicott, Transitional Phenomena and Cultural Experience*. London: I.B. Tauris, 2013: 39–51, esp. p. 40.

screen – and which, in reality, may never have existed at all.[59] Moreover, in real life neither animals nor puppets can speak but we nevertheless fear for Bambi when we hear his mother tell him 'Man is in the forest', feel happy when we hear Pinocchio tell Geppetto that he is alive and has become a real boy, and sad when we hear the elephants jeer at Jumbo Junior's large ears and name him Dumbo. As developed by Metz, apparatus theory proposes that cinema offers an imaginary unity to smooth over the fragmentation at the heart of Lacanian subjectivity.[60] In this scheme, cinema compensates for what the viewer lacks. In making present what is absent, cinema functions as an imaginary signifier.

An intrinsic feature of the apparatus theory of Baudry and Metz is the notion that unconscious psychic regression to earlier stages of subjective development is central to the pleasure we experience in the cinema. Needless to say, their positions have been the targets of criticism, from both general[61] and from feminist film theorists.[62] One certainly cannot deny the gendered slant of apparatus theory, perhaps inevitable because of its incorporation of Freudian ideas about the Oedipal crisis and its resolution. Apparatus theory does, however, serve to remind us of the constructed nature of cinematic pleasure. In live-action films, continuity-editing techniques like matching on action, eyeline matching and the shot/reverse shot enhance the illusion of reality and the

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[59] Chuck Jones, the legendary animator of Warner Bros., once introduced himself to a young fan as 'the man who drew Bugs Bunny', correcting himself immediately by saying that he was 'the man who drew pictures of Bugs Bunny' (Wells, *Animation and America*, p. 157).

[60] Barbara Creed, Film and Psychoanalysis', in John Hill and Pamela Church Gibson (eds) *The Oxford Guide to Film Studies*. Oxford: Oxford University Press, 1998: 77–90. Christian Metz, 'The Imaginary Signifier.' Screen 16.2 (75): 14–76.

[61] Carroll and Baudry, 'The Apparatus'; Ira Konigsberg, 'Transitional Phenomena, Transitional Space: Creativity and Spectatorship in Film', *Psychoanalytic Review* 83.6 1996: 865–89. Lapsley and Westlake, *Film Theory*.

[62] Annette Kuhn, *Women's Pictures: Feminism and the Cinema*, 2nd edn. London: Verso, 1994: 1–285; Teresa de Lauretis,'Through the Looking-Glass', in Philip Rosen (ed.) *Narrative, Aparatus, Ideology: A Film Theory Reader*. New York: Columbia University Press, 1986 [1980]: 360–72.

identification spectators make with the characters, actions and events projected onto the screen. All these techniques of 'invisible editing' are employed in the animated films considered here. They invite us as spectators to assume that we are in command as the story the film is telling unfolds before our eyes.

In everyday usage, our ability to identify with characters on the screen is based on the protagonist having values congruent with our own or with those we wish to have, so allowing us to experience vicariously the protagonist's thoughts, feelings and emotional life. The process is often supported by formal cinematic devices such as voice-over, and point-of-view and close-up shots. In the films discussed in this thesis, point-of-view shots and close-ups are commonly designed into the animation process although voice-over features only once, briefly at the beginning of *Dumbo*. Murray Smith, in developing a cognitivist theory of cinematic engagement,[63] has refined the concept of cinematic identification by invoking the spectator's *recognition* (the way characters in a film are constructed by the spectator as individual and continuous agents), *alignment* (the way the film gives us access to the actions, thoughts and feelings of the characters in the film) and *allegiance* (the way our sympathies for or against the character's values and point-of-view are marshalled by the film).[64] In this thesis, emphasis has been placed on the emotional experience of the spectator as s/he becomes caught up with the actions of the characters in the film – examples being the spectator's involvement with Snow White's terror as she escapes through the forest, with Bambi's sadness when he realises his mother has been

[63] According to Kuhn and Westwell, p.86, cognitivist film theory holds that the viewer's response to a film is a rational and conscious attempt to make sense of the work through its formal components (such as narrative, sound, colour and moving image) and that the resources drawn on in this process are the same as those used in making sense of the real world. The authors consider exploration of the capacity of films to transmit emotion is a particularly productive area for this discipline.
[64] Smith, *Engaging*, p. 1–265.

shot and with Dumbo's misery when he discovers his mother has been incarcerated. Notwithstanding Smith's concern that using the term identification may conflate his notions of alignment and allegiance, I have used the term as it is widely understood in Film Studies, to designate the spectator's capacity to respond emotionally to the actions, motivations and feelings depicted by the characters on the screen.[65]

The psychoanalytic models employed in the present investigations are, for reasons discussed below, based mainly on the work of Sigmund Freud (1856 – 1939) and of the post-Freudian object-relations psychoanalysts and theoreticians Melanie Klein (1882–1960) and Donald Winnicott. Since object-relations theory has not been widely adopted in psychoanalytic film theory (although examples in which it has been deployed in critiques of individual films are given later in the chapter), an outline of the concepts employed in my investigation of Disney's films is in order. Klein's perspective on our internal life informs several of my discussions of the contents of the films and, in that the stories the films tell evoke the unconscious processes she describes, I argue that Klein's model helps us to understand the profound effect the films may have on the spectator's unconscious life. I also argue that Winnicott's concepts of child development, particularly those concerned with transitional objects and transitional phenomena, provide us with insights into the psychic ramifications of the ways the films are constructed, into their form rather than into the plots and characters that make up their content and into the nature of the spectator's engagement with films. Mention of film form, of course, also raises the issue of animation and its potentially distinctive effect on the spectatorial engagement with the films. Animation *per se* itself is not a central issue of this thesis but the subject

[65] Kuhn and Westwell, *Dictionary*, p. 217.

inevitably forms part of my consideration of the instrumentality of transitional phenomena in understanding the pleasures involved in watching these films.

Object-relations theories are concerned with exploring the relationship between real, external people, places and things and the internal images and residues of relations with them and the significance of these residues for psychic functioning.[66] Their major focus is on the mother-infant dyad, on the inner world of objects and their effects on interpersonal relationships. While the various theories of object-relations differ, their common feature is that they place interpersonal relationships at the centre of what it is to be human, arguing that we are essentially social animals and that our need for each other is primary.

In everyday usage, an object implies something inanimate that can be manipulated; in psychoanalytic theory, however, the word is used in a more literary sense, as, for example, in 'the object of my wishes'. Laplanche and Pontalis define Object as 'the thing in respect of which and through which [an] instinct seeks to attain its aim (i.e. a certain type of satisfaction). It may be a person or a part object, a real object or a phantasised one.[67] A part object is considered 'a part or an aspect of a person which we may relate to as a body part rather than a complete person: the infant to the mother's breast, the pornographer to genitals; or to a person as a function of a complete person such as a dentist, waiter or tax inspector; or to an aspect of a person, seeing them solely as the clever or the irritating person, or the one who might lend me money. Objects can also include, secondarily, a non-human thing or idea, which is

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[66] Jay R. Greenberg and Stephen A. Mitchell, *Object Relations in Psychoanalytic Theory* London: Harvard University Press, 1983: 1–437, esp. p. 12.
[67] Laplanche and Pontalis, Language, p. 273. The spelling of 'phantasised' designates a specific Kleinian usage whose major feature is elaborate unconscious phantasy that serves not as a substitute for, but as an accompaniment to, gratification (Greenberg and Mitchell, *Object,* p. 124).

subjectively important through its human associations, such as home, art, and politics'.[68] Because in object-relations theories relations between the self and the world are based on objects rather than on drives, we may think of the hungry infant as motivated by a desire for the breast or the mother, rather than, as in Freudian psychoanalysis, by a drive, or to use the German word Freud used, by a *Trieb* for oral gratification.[69] In this thesis, the word 'drive' is used to represent in English the German word *Trieb*.

Melanie Klein's model of psychic development is based on the thesis that the new-born infant comes into the world with two conflicting urges – that of love, a manifestation of the life drive, and that of hate, an emanation of the death drive.[70] Here Klein follows Freud's proposal of the existence of a death drive – which for him explained the compulsive reliving of distressing events in the nightmares of soldiers in World War I suffering from what we now call post-traumatic stress disorder.[71] Freud considered these recurring fantasies of harm and destruction incompatible with his concept of the dream as a disguised wish

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[68] Lavinia Gomez, *An Introduction to Object Relations.* London: Free Association Books, 1997: 1–245, esp. p. 1.

[69] It is of note that, while James Strachey translated the word *Trieb* as 'instinct' in the Standard Edition of Freud's publications, Greenberg and Mitchell claim that most authors actually use the word 'drive'. Greenberg and Mitchell, *Object*, p. 22. The translation is specifically discussed by several of the translators of The New Penguin Freud: *The Wolfman and Other Cases* (Louise Adey Huish, trans. 'Preface', in Gillian Beer (ed.) *The Wolfman and Other Cases*. London: Penguin, 2002: xxviii-xxxiii. esp. p. xxix); *On Murder, Mourning and Melancholia* (Shaun Whiteside, trans 'Preface' in Maud Ellman (ed.) *On Murder, Mourning and Melancholia*. London: Penguin Books, 2005: xxix-xxxiv, esp. p. xxxii); *The Unconscious* (Graham Frankland, trans. 'Preface', in Mark Cousins (ed.) *The Unconscious*. London: Penguin Books, 2005: xxi-xxvi. esp. p. xxii); and of the several essays in *The Psychology of Love* (Shaun Whiteside, trans. 'Preface', in Jeri Johnson (ed.) *The Psychology of Love*. London: Penguin Books, 2006: xxvii-xxxii). Each of the translators rejects the term 'instinct' and renders *Trieb* as 'drive'.

[70] Juliet Mitchel, *The Selected Melanie Klein*. New York: The Free Press, 1986. Hanna Segal, *Introduction to the work of Melanie Klein*. London: Hogarth Press, 1973: 1–160. Hanna Segal, *Klein*. London: Karnac Books, 1989: 1–189.

[71] Sigmund Freud, 1920, 'Beyond the Pleasure Principle', in Mark Edmundson (ed.) *Beyond the Pleasure Principle and Other Writings*. London: Penguin Books, 2003: 43–102.

fulfilment. The aim of the death drive, postulated Freud, is disintegration, leading through regression to earlier stages of being, ultimately to that which obtained before life.[72] Freud considered that we can only survive our death drive by externalising it to disintegrate and destroy other beings or states of being. While some have found the notion of a death drive unacceptable, the idea was fruitfully developed by Melanie Klein.

In the Kleinian formulation, the infant deals with the conflict arising from these drives either by trying to bring them together to nullify the death drive or by expelling the death drive into the external world. The external world the infant encounters is both satisfying (for example, when hunger is relieved by feeding from a breast that is immediately available) and frustrating (for example, when the breast is not immediately available). The infant's ego experiences severe anxiety which arises from the threat of annihilation by the death drive (experienced as a fear of persecution) and from unwelcome aspects of external reality. According to Klein, the earliest defences used by the primitive ego are projection (the phantasised insertion into the external world of impulses that originate within oneself) and introjection (the phantasised taking into the self of material that originates outside oneself). Other primitive defence mechanisms are splitting, in which the ego splits off and disowns the bad part of an object (for example, the mother) or part object (for example, the mother's breast), projective identification (parts of the self are projected onto external objects, which may be part or whole objects and then identified with ('It's not that I want to harm her, it's that she wants to destroy me') and repression. These defences are seen by Klein

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[72] In *Beyond the Pleasure Principle*, Freud writes 'we may reasonably suppose that …every living thing dies – reverts to the inorganic – for *intrinsic* reasons [so] we can only say that *the goal of all life is death*…' (emphasis in the original). This argument is fully consistent with the biological phenomenon of apoptosis, the process genetically encoded within every cell that determines its life span and that therefore programmes its death.

as central to mental development, splitting for instance being the earliest attempt to bring order to the chaotic contents of the infant's psyche by separating good and bad part objects.

As the infant's self-destructive feelings generate anxiety, it fears that the (part) object upon which it vents its rage (for example, the bad breast that caused distress by not being available to assuage its hunger) will retaliate, and so for self-protection it splits itself and the object into a good and bad part and projects the badness into the outside world. The hated breast thus becomes both hateful (by projection) and hating (by projective identification). This is termed 'the paranoid-schizoid position', into which the ego's projective defences have initiated the child[73] – paranoid because of the persecutory anxiety that underlies the fear of retaliation, schizoid because the mind contains mainly part objects, as a result of the leading mental mechanism of splitting. The paranoid-schizoid world is devoid of good maternal objects. With the passage of time, the ego gradually strengthens and becomes able to take in (to introject) the whole object, the whole person in whom good and bad co-exist, that is to say, the mother – who then becomes a source of both gratification and pain. The child's attitude therefore becomes ambivalent but, while it may continue to rage against the mother (the whole object), it no longer fears her retaliation. The child does however feel guilt and anxiety for the damage it has inflicted in phantasy on the mother. The mixture of love and hate, guilt and loss and the regret over the phantasised persecution of the earlier phase constitute 'the depressive position',[74] a term

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[73] Melanie Klein,1946, 'Notes on Some Schizoid Mechanisms', *Envy and Gratitude and Other Works 1946–1963*. London: Vintage, 1997: 1–24.
[74] Melanie Klein, 1935, 'A Contribution to the Psychogenesis of Manic-Depressive States', *Love, Guilt and Reparation and Other Works 1921–1945*, London: Vintage, 1998: 262–89.

coined to describe a normal state of internal ambivalence and which is to be distinguished from the clinical state of a 'depressed' position.

Envy, in Klein's formulation, is a two-person emotion: the child's ego aims to be as-good-as the object (the mother, for instance) but when this ambition cannot be achieved, it attacks the object (by projection), spoiling its goodness in order to remove the source of the envious feelings.[75] Envy is felt therefore whether the child is thwarted by what it experiences as mean and grudging or rewarded by what is seen as an unemulatable flow of goodness. Envy may be allied with greed, defined as the ruthless acquiring (by introjection) of all that is good within the object, scooping out its goodness and leaving it empty. Reparation, the process which restores, preserves and revives, arises from an acknowledgement of the integrity of the good and bad object. It is the process by which the child seeks to make good the damage it has done to its objects in phantasy; it supports integrating tendencies in the ego and forms the basis for the Kleinian theory of creativity, as discussed below. Reparation allows the depressive position to be transcended as the child discovers resources to mitigate its own destructiveness.

In this formulation, the outside world is perceived through a screen of the child's internal drives, defences and phantasies. Development of the child's ego occurs through its interaction with internalised objects and with external reality. These drives and ego defences are seen by Klein as operating in the first few months of life, well before Oedipal conflicts are active – indeed Klein's emphasis on the mother-child dyad occurs at the expense of the mother-child-third person triad so central to development in the Freudian model. Also, Klein emphasises

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[75] Melanie Klein, 1957, 'Envy and Gratitude', *Envy and Gratitude and Other Works 1946–1963*. London: Vintage, 1997: 176–235).

the role of the death drive over that of the life drive. In her model, phantasy accompanies the satisfaction of a completed drive, rather than having an inverse relationship to the power of the drive, as in Freud's scheme. Phantasy is a constant and unavoidable accompaniment of real experiences, constantly interacting with them,[76] a notion of obvious appeal in attempting to formulate the nature of the cinematic experience and our response to images on the screen. Rather than the linear progress of psychic maturation envisaged by Freud (from anal to oral to genital stages, with the potential of neurotic regression to an earlier stage), the paranoid-schizoid and depressive positions are held throughout life as potentialities that underscore psychotic breakdown into schizoid or depressive states.

Hanna Segal has set out a comprehensive account of Kleinian thinking on the creative impulse and the means of evoking aesthetic emotion.[77] Her emphasis is that the impetus for artistic creativity lies in the reparative impulses of the depressive position. Making art requires the unification of previously separated elements to construct or reconstruct whole objects. She provides a striking breadth of artistic examples (though, sadly, not including cinema) because she considers the tension in the relation of the various artistic forms to their content an important feature of her analysis.[78] Taking classical tragedy as her starting point, she focuses on the contrast between forces of destruction

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[76] Segal, *Klein*.
[77] Hanna Segal, *Dream, Phantasy and Art*, The New Library of Psychoanalysis Series. London: Brunner-Routledge, 1991: 1–120.
[78] Melanie Klein's notes on *Citizen Kane* (Orson Welles 1941) have, however, recently been discovered (Albert Mason, 'Melanie Klein's Notes on Citizen Kane with Commentary', *Psychoanalytic Inquiry* 18.1 1998: 147–53). Although Klein had written about novels and plays, these incomplete notes are her only known writings on film. She focused in them on her theory of unconscious fantasy as the central component of artistic production as well as of psychic reality. Her analysis concerned the way Kane's futile struggle to preserve the good maternal object was both replicated and displaced in his subsequent unhappy love relationships.

(hubris, treachery, patricide, matricide) – the content of tragedy – and the harmonious and ordered form which, she says, contains feelings that would otherwise be uncontainable. She sees artistic creation as involving 'an unconscious memory of a harmonious inner world and the experience of its destruction; that is, the depressive position. The impulse is to recover and recreate this lost world'. Segal continues: 'The means to achieve it has to do with the balance of ugly elements [here she is referring to the content of tragedy noted above] with beautiful elements [the form of the art object] in such a way as to evoke an identification with this process in the recipient'.[79]

The process to which she refers requires psychic work on the part of the recipient such that she/he feels it is left to her/him to look for completion. Creativity that arises out of depressive anxieties and which has meaning for the recipient involves 'the capacity to symbolise; perception of inner and outer reality and ability to bear eventual separation and separateness – that is, processes that we mobilise in the depressive position'.[80] Creativity is therefore seen by Segal to require the artist to recreate something corresponding to the recreation of her/his internal objects and world and to externalise it to give it life in the external world and thus make it accessible to the recipient.

The proposals discussed above necessarily implicate the contact made by the artistic creation (and creator) with the recipient's, or as we would say in Film Studies, with the spectator's internal and unconscious world. Segal also considers the issue of *significant form*, a concept that seeks to capture what it is in a work of art that arouses aesthetic rather than associative emotions. Kenneth Wright points out that, for object-relations theory, '*significant form* transcends the

[79] Segal, *Dream*, p. 94.
[80] Segal, *Dream*, p. 97.

contents of a particular work of art by relating to what the viewer recognises as an *inevitable sequence'*, that is, 'the sense of the elements within the work of art of *having to be* the way they are, as though they match some pre-existing pattern that can only now be realised'.[81] Wright continues:

> For Segal…the rightness of a representation…stems from its concordance between a felt inner structure and an external form that captures exactly the shape of that inner structure…Building on the idea that a symbol is always constituted on the loss or absence of an object [for which the symbol is, of course, standing in] she argues that the object represented in the creative process is always an object that has been destroyed by the subject's own [unconscious] attacks.

The creative act thus becomes an attempt at reparation, an attempt to rebuild, symbolically, the whole object from its scattered and damaged fragments. In Segal's Kleinian formulation, the creative artist's destructiveness to her/his objects is so great that she/he must work ceaselessly to repair them.

For the recipient, in this instance the film spectator, the aesthetic experience requires psychic work which, in Segal's view, is what distinguishes it from pure entertainment or sensuous pleasure.[82] She argues that people vary in their ability to undertake such work, which helps to explain why a piece of art, or a film, may move one person but leave another cold.[83] A familiar, if extreme, example would be a person's reaction to watching the haunting but mysterious

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[81] Kenneth Wright, 'To Make Experience Sing', in Lesley Caldwell (ed.) *Art, Creativity, Living*. London: Karnac Books, 2000: 75–96, esp. p. 78.(emphasis in original).
[82] Segal, *Dream*, p. 94.
[83] The 'aesthetic moment,' the instant in which one recognises that one feels 'at home' with an art object, is also discussed in psychoanalytic terms by the psychoanalyst and painter Marion Milner. She generalises the phenomenon to include experiences in addition to painting and in *The Suppressed Madness of Sane Men* quotes the comments of the psychoanalyst Otto Rank: 'Art and play link the worlds of 'subjective unreality' and 'objective reality', harmoniously fusing the edges but not confusing them.' Quoted in Marion Milner, *The Suppressed Madness of Sane Men: Forty-Four Years of Exploring Psychoanalysis*. Hove: Brunner-Routledge, 1987, p. 72.

Last Year at Marienbad (Alain Resnais 1961), particularly as, according to Segal, a crucial feature of the psychic work is that it is left to the recipient to look for completion. This need to complete, for the film spectator to fill in, to construct a *syuzhet* from the *fabula*, a plot from the story, to comprehend a withheld scene or an off-screen action, operates at the conscious level of problem solving, as elaborated in cognitivist film theory, but also at the unconscious level of recognising the rightness of the match of the external object with the shape of its corresponding internal object. Notwithstanding the potential of Kleinian concepts to investigate aspects of film form, their major role in the present investigation is in the analysis of film content, as had been tentatively proposed by the psychoanalyst Graham Clarke.[84]

The work described in this thesis does also address issues concerning the spectator's engagement with the form, as against the content, of the films under discussion. I argue that Winnicott's concept of transitional phenomena provides novel insights into our understanding of how the spectator engages with the structure of films and how the engagement may be understood as rewarding and therefore contribute to making watching films a satisfying experience. I propose therefore to describe the aspects of transitional phenomena that shed light on the spectatorial engagement with the cinematic experience.

Winnicott had observed that in the first six months or so of life the infant is completely dependent on its mother, herself optimally focused on her child in a

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[84] In the first part of his article, Clarke discusses the potential for object-relations theory to provide a basis for studying film genre (for example, the paranoid – schizoid position as underlying films of violence and revenge, the depressive position as underlying films containing 'deep, rounded and complex characters'). In the second part of the article, he discusses five films from the point of view of a psychoanalyst probing the protagonists' motivations and actions. The value of psychoanalysis for considering the cinematic experience is not, however, addressed in this article. Clarke, Graham, 'Notes towards an object-relations approach to cinema', *Free Associations* 4.3 1994: 369–90.

state he termed 'primary maternal preoccupation'.[85] Thereafter the infant gradually emerges from its state of fusion with the mother into an involvement with external reality, so differentiating itself from its mother and moving towards a position of relative independence. The separation is facilitated by the child having a 'good-enough mother,' defined by Winnicott as a mother 'who makes an active adaptation to the infant's needs…that gradually lessens, according to the infant's growing ability to account for failure of adaptation and to tolerate the results of frustration.'[86] He goes on to say that 'success in infant care depends on the fact of devotion, not on cleverness or intellectual enlightenment'. Winnicott argued that separation of the infant from its mother is facilitated by 'transitional phenomena' that act as bridges between the child's internal (Me) and external worlds (not-Me), so substituting a continuous process for what would otherwise be the assumption of mutually exclusive positions.[87] He noted that most children find for themselves a special and unshareable 'transitional object' (typically a piece of blanket, a doll or teddy bear) which for a time is indispensable and which is usually taken to bed as a defence against the anxiety that results from separation from mother. Winnicott used the terms 'transitional object' and 'potential space' to designate 'the intermediate area of experience, between the thumb and the teddy, between oral eroticism and the true object-relationship…'. He goes on to state '…the piece of blanket (or whatever it is) is symbolic of some part object, such as the breast. Nevertheless, the point of it is not its symbolic value so much as its actuality. Its not being the breast (or the mother), although real, is as important as the fact that it stands for the breast (or mother)'.[88] The

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[85] Donald W. Winnicott, 1956 (ed.) 'Primary Maternal Preoccupation', *Through Paediatrics to Psychoanalysis*. London: Karnac Books, 1975: 300–05.
[86] Winnicott, Transitional, p. 13.
[87] Winnicott, Transitional, p. 1.
[88] Winnicott, Transitional, p. 8.

transitional object is therefore understood to belong to the child's fantasy world while at the same time having a physical existence in the world of material objects. Such an object is typically called upon when the child has to endure separation from mother, such as when going to bed, being left in the company of others, going to nursery school – the examples are numerous because the experience is ubiquitous. The reward that the child experiences when calling upon a transitional object is a lessening of the anxiety caused by separation: the key feature therefore is not what the transitional object is, rather it is what it does.[89] Moreover, in being able to tolerate separation from mother, the child's autonomy, its very Me-ness, is enhanced. The transitional object may therefore be regarded as providing one of the mechanisms by which the ego is strengthened as the child matures. Mobilisation of transitional phenomena is, in due course, extended to separation from mother-associated place-objects, such as the home and so transitional objects act as bridges between the familiar and the unfamiliar.[90] As the child grows up, a particular transitional object, a teddy bear, a piece of blanket, is not forgotten and is not mourned, Winnicott observes, but rather 'It loses meaning…because the transitional phenomena have become diffused, have become spread out…over the whole cultural field.'[91]

Winnicott proposed the existence of a third area between inner or personal psychic reality and the actual world, an area he termed 'potential space'. This potential space lies between Me and not-Me, between baby and mother, child and family, individual and society. This intermediate zone, the place

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[89] Adam Phillips, *Winnicott*. London: Fontana Press, 1998: 1–180.
[90] Annette Kuhn, 'Thresholds: Film as Film and the Aesthetic Experience', *Screen* 46.4 2005: 401–14.
[91] Winnicott, Transitional, p. 7; Donald W. Winnicott, 1967, 'The Use of an Object and Relating Through Identifications', *Playing and Reality*. Abingdon: Routledge 2005, pp.115–27.

between fantasy and reality where transitional objects reside, is, Winnicott claims, the space in which the individual experiences playing, fantasy and creativity.[92] Playing is characterised by preoccupation and near withdrawal on the part of the child and there is, claims Winnicott, 'a direct development from transitional phenomena to playing, and from playing to shared playing and from this to cultural experiences.' In playing, it is in the interplay of what is subjective and what is objectively engaged with that is absorbing and provides excitement. Winnicott makes the point explicitly that, while personal psychic reality and the actual world are relatively constant (the former biologically determined, the latter common property), potential space is highly variable,[93] its elasticity meaning it can contain any experience including, for our purposes, that of watching films. Winnicott claims that the dynamic equilibrium between inner and outer continues throughout life because full acceptance of reality is always in process and never finally achieved. It is, he argues, in the intermediate area, the potential space, that we obtain relief from the strain of balancing inner and external reality, that is to say, in which transitional phenomena help us to negotiate the relationship between our inner fantasies and external reality.[94]

In relation to the cinematic experience, the film scholar Ira Konigsberg proposed that 'images on the screen and the emanating sounds put us into a state that makes us feel as if we were responding to transitional phenomena, a subjective-objective world, half real and half dream, half apart from us and half containing us'.[95] He goes on to say that 'transitional phenomena exist out there but are invested with a subjective overlay, they are projected outside of ourselves

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[92] Donald W. Winnicott, 1967, 'The Location of Cultural Experience', in *Playing*, pp. 128–39).
[93] Winnicott, Location, p.138
[94] Winnicott, Transitional, p. 18.
[95] Konigsberg, Transitional, pp. 865–89, esp. p. 874.

but they also exist apart from us so we may introject them'. Konigsberg proposed the cinema screen as a transitional space between the inner subjective world of the creator and the separate reality 'out there'.[96]

Annette Kuhn has extended discussion of the subjective inner and the objective outer to include the tension between 'clinging' and 'going exploring', between the strain of living in the everyday and leaving it for maximally intense experiences, that is, from the purely spatial oppositions of inner and outer to differences in thinking and acting.[97] She sets out the defining features of these engagements with transitional processes:

- They are part of the on-going differentiation between inner and outer objects, between self and reality
- They involve temporary suspension of boundaries between self and objects
- Transitional phenomena bridge inner and outer realities
- Transitional processes involve oscillation, or shifting of the boundaries, between inner and outer – as opposed to stable, fixed structures.

Discussion of boundaries suggests immediate links with the cinematic experience, inviting, for example, consideration of the film frame, of how it is constructed (in live-action filming, are its limits imposed by the lens or fore-shortened by shooting from within a confined space?), of what is contained and what excluded, of what we are permitted to see and what is withheld, of the boundary between on-screen space and off-screen space. The argument that the

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[96] Although Ira Konigsberg uses the term 'transitional space' (Konigsberg, Transitional), Winnicott specifically refers to 'potential space' as the place between the individual and the environment where cultural experience is located (Winnicott, Location, p. 135). It is the latter term that is adopted in this thesis.
[97] Kuhn, *Thresholds*.

film frame delineates the cinematic world from the real world outside it is discussed in Chapter 3. Boundaries offer the possibility of a threshold between the safety of what is contained within (images of home, for example) and the chaos that is without (the risks of leaving home). The film shot can allude to such boundaries or show them quite explicitly but it is how we negotiate them that reflects our ability to deal with the unfamiliar. Each time such a boundary is crossed, Winnicott's concept of transitional processes suggests containment of the anxiety of separation and thereby reinforcement of personal autonomy, an obvious source of at least some of the rewards and pleasures of engaging with films. Cinema alludes to the real world as it creates imaginary spaces. The boundaries and the spaces films contain and exclude become highly invested because they evoke one's own struggles with the tensions between what is comfortable and what is challenging. Film editing can enhance the tension of this struggle by connecting spaces, as in the shot/reverse shot, or by dislocating them, as in crosscutting.

With regard to Disney's fully animated feature films, it is of note that their protagonists are represented on the screen entirely symbolically, that is to say, imaginary three-dimensional objects are represented as two-dimensional drawings. Sometimes the symbolism is simple (a drawing of Snow White represents the young woman who is Snow White), sometimes complex (a drawing of Pinocchio sometimes represents a marionette, sometimes a puppet, sometimes an almost-donkey and sometimes a boy). The illusion contained in the contrasts between the various symbolic representations of the protagonists on the screen and Disney's naturalism (psychologically motivated narratives, strongly characterised protagonists, expertly animated movements, invisible editing) is striking. It leads to the proposal that, when watching these films, the

spectator's identification with the protagonists mobilises her/his potential space and so facilitates entry into, and pleasurable experience of, the world of fantasy, playing and culture. At the same time, the mobilisation of potential space eases separation of the child from its mother, so enhancing the process of psychological maturation and rewarding the spectator with a greater sense of personal autonomy.

The suggestion being made here is not that *film* is a transitional phenomenon, rather it is the way animation works in the process of the spectator's identification with the protagonist that is crucial. For instance, when a child identifies with Dumbo, the issue is whether he sees himself as a baby elephant that can fly or as a boy. Does the child identify with Pinocchio as a puppet or as boy, with Bambi as a deer or as boy? According to Winnicott's formulation, in each case the identification is at the same time with the character and with not-the-character. And, just as Winnicott states in relation to our response to the paradoxical illusions inherent in transitional objects – 'the essential feature in the concept of transitional objects and phenomena…*is the paradox, and the acceptance of the paradox*: the baby creates the object, but the object was there waiting to be created…we all know that we will never challenge the baby to elicit an answer to the question: did you create that or did you find it?'[98] – it would be unthinkable to challenge the spectator over the illusions of animation. The paradox must be allowed to remain – it is what permits animation to tap into the child's potential space, in which imagination and fantasy go unchecked.

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[98] Winnicott, The Use, p. 119 (emphasis in original).

To summarise, the proposal here is that the concept of transitional phenomena, developed by Winnicott to understand the child's earliest processes of attachment, separation and psychic differentiation, can be productive in the study of films and how the spectator engages with them. Central to their value to the present project are the inherent, paradoxical and unchallenged illusions of transitional phenomena and of animated film. To quote Winnicott directly: 'Transitional objects and transitional phenomena belong to the realm of illusion which is at the basis of initiation of experience'.[99] The argument for film analysis and interpretation is that, in the process of engaging with transitional objects on the screen and embracing the illusions of cinema, we gain the opportunity for fantasy and imagination at the same time that we enhance the sense we have of our own autonomy. In relation to the child spectator of films of the type investigated here, one might speculate that engaging with animated characters on the screen may eventually contribute to the child's personal development, the process operating through the child's progression from the initial stage of focusing on the animated characters on the screen as transitional objects, to incorporating the transitional objects (the characters) into the pleasures of playing and fantasy and, ultimately, by the maturing child disinvesting from transitional objects and engaging instead with various cultural and artistic experiences. The processes envisage an active engagement of the spectator with the screen, a proposal which is consistent with Laura Mulvey's concept, noted earlier, of the pensive spectator of modern digital media.[100]

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[99] Winnicott, Transitional, p. 19.
[100] Mulvey, *Death*, p. 181.

Thus far, it must be admitted, object-relations theories have either been omitted from most introductory texts on film theory,[101] or mentioned only fleetingly.[102] In an echo of the theoretician Robert Stam's contention that psycho-analytic film theory has been too rooted in the Freud-Lacan tradition,[103] Vicky Lebeau has commented 'The pleasures, and anxieties, of looking at cinema have been thoroughly (though by no means exhaustively) explored in terms of voyeurism and sexual difference, identification and narcissism'.[104] Her own study of *The Seventh Continent* (Michael Haneke 1989) is predicated on Winnicott's notions of the role of mirroring, that is, of the exchange of looking and recognition that occurs between mother and infant,[105] while Winnicott's concept of the false-self has informed articles by psychoanalysts and psychotherapists on *Ordinary People* (Robert Redford 1980), *The Truman Show* (Peter Weir 1998) and *Mulholland Drive* (David Lynch 2001).[106] The concept of transitional phenomena has underpinned explorations of the experience of watching *Meet Me in St Louis*

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[101] Pam Cook, *The Cinema Book*, British Film Institute, London, 2007. Creed, *Film and Psychoanalysis*. Christine Etherington-Wright and Ruth Doughty, *Understanding Film Theory*. Basingstoke: Palgrave-Macmillan, 2011: 1–289. Lapsley and Westlake, *Film Theory*. Gerald Mast, Marshall Cohen, and Leo Braudy, *Film Theory and Criticism: Introductory Readings*. Oxford: Oxford University Press, 1992.

[102] Patrick Fuery, *New Developments in Film Theory*. Basinstoke: Palgrave, 2000: 1–211. Stam, *Film Theory*. Vicky Lebeau, *Psychoanalysis and Cinema: The Play of Shadows* (Short Cuts). London: Wallflower Press, 2001: 1–137, esp. p. 119.

[103] 'Why had psychoanalytic theory focussed so narrowly on fetishism, voyeurism, masochism, and identification', asks Stam (p. 329), 'while bypassing other promising categories such as fantasy, the family romance and so forth?'

[104] Lebeau, *Psychoanalysis*, p. 119.

[105] Lebeau, Vicky. 'The arts of looking: D.W. Winnicott and Michael Haneke', *Screen* 50.1 2009: 35–44; Donald W. Winnicott, 1967, 'Mirror Role of Mother and Family in Child Develiopment', in *Playing*, pp. 149–59.

[106] Michael Brearley and Andrea Sabbadini, '*The Truman Show*: How's it Going to End?' *International Journal of Psychoanalysis* 89 2008: 433–40. Kenneth Newman, 'Winnicott Goes To The Movies: The False Self in *Ordinary People*', *Psychoanalytic Quarterly* 65 1996: 787–807. Johnny Young, 'Identity as Subterfuge: A Kleinian and Winnicottian Reading of David Lynch's Mulholland Drive', *Psychoanalytic Review* 94.6 2007: 903–25.

(Vincente Minnelli 1944),[107] of *E.T. the Extra-Terrestrial* (Steven Spielberg 1982) and *of* the series of films about Lassie.[108] Annette Kuhn has illustrated her conceptualisation of transitional phenomena for understanding the spectator's engagement with film with accounts of *Where is the Friend's Home?* (Abbas Kiarostami 1987), *Mandy* (Alexander Mackendrick 1951) and *Ratcatcher* (Lynne Ramsay 1999)[109] and two general reviews of how Winnicott's ideas may have value in theoretical aspects of Film Studies have recently been published.[110] Studies of films based on Kleinian psychoanalytic theory have also been published in recent years: on *Harry: He's Here to Help* (Dominik Moll 2000),[111] on *Alien* (Ridley Scott 1979)[112] and on *Breaking the Waves* (Lars von Trier 1996),[113] so it is therefore clear that object-relations theory has entered current discourse about how films are experienced, a point well exemplified by the contents of the scholarly internet site *Film Studies For Free*, hosted by Catherine Grant.[114]

The absence of reference to object-relations theory in most current surveys of film theory is surprising and difficult to explain. Possibly the reason

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[107] Phyllis Creme, 'The Playing Spectator: An Exploration of the Applicability of the Theories of D.W. Winnicott to Contemporary Concepts of the Viewer's Relationship to Film', PhD at University of Kent, 1994.
[108] Ira Konigsberg, 'Children Watching Movies', *Psychoanalytic Review* 87 2000: 277–303.
[109] Annette Kuhn, 'Cinematic Experience, Film Space, and the Child's World', *Canadian Journal of Film Studies* 19.2 2010: 82–98.
[110] Annette Kuhn, *Little Madnesses: Winnicott, Transitional Phenomena and Cultural Experience*. I.B. Tauris, London, 2013; Andrea Sabbadini, 'Cameras, Mirrors, and the Bridge Space: A Winnicottian Lens on Cinema', *Projections* 5.1 2011: 17–30.
[111] Candy Aubry, 'Freedom Through Re-introjection: A Kleinian Perspective on Dominik Moll's *Harry: He's Here to Help*', in Andrea Sabbadini *The Couch and The Silver Screen: Psychoanalytic Reflections on European Cinema*. Hove: Brunner-Routledge, 2003: 139–44).
[112] Glen O. Gabbard and Krin Gabbard, '*Alien* and Melanie Klein's Night Music', *Psychiatry and the Cinema,* 2nd edn. London: American Psychiatric Press, 2005: 277–91).
[113] Suzy Gordon, 'Breaking the Waves and the Negativity of Melanie Klein: Rethinking the Female Spectator', *Screen* 45.3 2004: 206–25.
[114] Catherine Grant, 'Film Studies for Free', 2013, http://filmstudiesforfree.blogspot.co.uk/, September 1, 2012.

has to do with the background interest of many film theorists in Hollywood films, which often have an Oedipal structure that makes the Freud/Lacan paradigm an attractive explanatory model. Perhaps it is related to the focus of many film theorists on films for adults, which makes the Freudian notion of regression a more acceptable model than it would be for understanding films in which children make up an important proportion of viewers.[115] Whatever the explanation for the omission of object-relations theory from most general accounts of film theory, there are a number of reasons why it may, in the future, be expected to play an important role in psychoanalytically-informed film theory. The first is because object-relations theory holds that the earliest sense of self arises from the infant's interaction with the mother, which, through the development of symbolic thought, develops into an interaction with objects that substitute for the mother. This position seems well suited to offer a theory of engagement with film that acknowledges the centrality of symbolisation and fantasy in the development and maintenance of the integrity of the self. Thus objects on the cinema screen may symbolise internal objects, they may lead to the creation of new internal objects and they may become targets of projective identification. Second, Winnicott's concept of transitional phenomena refers to a subject-object world, part real and part imaginary, that seems similar to the spectator's cinematic experience, as conceptualised in classic apparatus theory. Third, it is a feature of object-relations theory that the processes described (viz., transitionality, phantasy) operate throughout life and so they do not require us to postulate that enjoying films involves unconscious regression to the developmental stages of infancy. Fourth, while apparatus theory may have proven helpful in understanding the impact of films made in the classical Hollywood style, it seems to have less to offer to an

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[115] Konigsberg, *Children*.

understanding of European art and world cinema or *avant-garde* film, in which construction of the spectator's transcendent position is consciously eschewed. The value of object-relations theory is not so confined,[116] although I hasten to note that the films in the present investigation were all made in the Hollywood style. Lastly, in contrast to the apparatus theory of Baudry and Metz, object-relations theory, because of its focus on pre-Oedipal unconscious mechanisms, is not essentially gendered.

In proposing that psychoanalysis, through its focus on the unconscious, has the capacity to theorise subjectivity in a way that is provocative and unique, Stephen Frosh argues that it is important not to ignore the specific disciplinary constraints of the topic being discussed because, otherwise, investigation risks becoming merely an enquiry into psychopathology.[117] Indeed, Frosh warns that psychoanalysis is unlikely to illuminate discussion if it is deployed without respecting the aesthetic and historical conventions that give the topic its cultural weight. An analogous point was made by Sigmund Freud himself in his comment on the use of psychoanalysis as a treatment for neurosis: '[the psychoanalyst] can make nothing of a large amount of his (sic) material if he does not feel at home in the study of the history of civilization, mythology, the psychology of religion and the science of literature.'[118] For these reasons, my enquiry into the enduring popularity of Disney's early feature films pays due attention to their prefilmic origins, cinematic provenance and formal structure. In addition, while my investigation is not based on the specifics of animation, I consider some aspects

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[116] Kuhn, *Thresholds*.
[117] Stephen Frosh, *Psychoanalysis Outside The Clinic: Interventions in Psychosocial Studies*. Basingstoke: Palgrave Macmillan, 2010: 1–247, esp. p. 36.
[118] Sigmund Freud,1926, 'The Question of Lay Analysis', in Adam Phillips (ed.) *Wild Analysis*. London: Penguin Books, 2002: 93–160.

of the techniques used in their production essential as part of my investigation of the engagement the spectator makes with the films being considered.

Definitions of animation vary from the operational (a film made frame-by-frame to provide an illusion of movement which has not been recorded in the conventional sense) to the philosophical (to animate [is to] give life and soul to a design, not through copying but through the transformation of reality).[119] The former definition assumes some understanding of how we perceive moving images on the screen,[120] the latter recognises the magic involved in bringing to life, in animating, images that would otherwise be still – that is, to use a psychoanalytic vocabulary, in realising the magical victory of the life force over the death drive. It also acknowledges that the absence of concrete prefilmic objects and events in drawn animation means that the characters and situations exist entirely in the imagination.

Perception of movement on the cinema screen arises from viewing progressive differences in a sequence of still images. The animated films discussed here were made using the cel technique,[121] the critical aspect of which is the separation of foreground and background layers so the animator does not have to redraw the stationary parts of the composition to produce the changes

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[119] Paul Wells, 'Animation: Forms and Meanings', in Jill Nelmes (ed.) *An Introduction to Film Studies*, 3rd edn. London: Routledge, 2003: 213–38, esp. p. 214.
[120] Joseph Anderson and Barbara Anderson, 'The Myth of Persistence of Vision Revisited', *Journal of Film and Video* 45.1 1993: 3–12.
[121] 'Cel' refers to a sheet of transparent celluloid upon which a picture can be traced, drawn or painted. The cels are laid on top of each other and a beam of light passed through them into the camera to produce a photographic image composed of the sum of the images on each of the cels.

required to achieve the sense of movement in the final image.[122] Background cels can therefore remain unchanged during a shot in which those in the foreground are redrawn to simulate movement. An important feature of the method is that it allowed for division of labour in the production of cels between 'key animators', 'inbetweeners' and 'opaquers', a crucial industrial point given that about two and half million drawings in total were required by Disney to produce an animated film of eighty minutes duration.[123]

In the fifteen years or so that preceded the feature-length films, Disney's animation techniques and style developed from the silent black and white semi-animated Alice series to the fully animated Mickey Mouse films with sound (e.g. *Steamboat Willy* (Walt Disney, Ub Iwerks 1928)) to the Silly Symphonies with sound and Technicolor (e.g. *Flowers and Trees* (Burt Gillet 1932)). 'Rubber hose' animation, in which limbs were stretched in an arbitrary way with no effect on body size, was abandoned in favour of the more naturalistic 'stretch and squash', in which elasticity was allied to constant volume, so that as forms were stretched they became thinner and as they were squashed they became fatter.[124] Along with the stylistic move towards naturalism, Walt Disney began to insist on action that was more than a collection of tricks and gags but was firmly based on character, as exemplified in the highly successful short film *Three Little Pigs* (Burt Gillett 1933). That film, with its music- and song-driven narrative and its fully differentiated protagonists, may indeed be considered an essential precursor, if

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[122] Kristin Thompson, 'Implications of the Cel Animation Technique', in Theresa de Laurentis and Stephen Heath (eds) *The Cinematic Apparatus*. London: Macmillan, 1980: 106–20). Casey Riffel, 'Dissecting Bambi: Multiplanar Photography, the Cel Technique and the Flower of Full Animation', *The Velvet Light Trap* 69 2012, pp. 3–16.
[123] Thomas and Johnston, *Illusion*, p. 317.
[124] Barrier, Hollywood, p. 89.

not a trial run, for Disney's first full length feature *Snow White and the Seven Dwarfs.*[125]

Despite the enthusiasm of several contemporary *avant-garde* critics and theorists for the anarchic quality of the early Mickey Mouse and Silly Symphonies films, as described in *Hollywood Flatlands,*[126] Walt Disney's artistic choice was to pursue naturalism, as opposed to the surrealistic pathway travelled, for example, by the Fleischer studio with the Betty Boop series, by Robert Clampett with *Porky in Wackyland* (1938), Tex Avery with *Red Hot Riding Hood (*1943) and Chuck Jones with *Duckamuck* (1953). For the feature films in particular, Walt Disney's approach was to remain firmly within the classical Hollywood style. Thus representational cues borrowed from live-action films were adopted, employing, for example, selective focus and complex shifts of colour to provide an impression of real space.[127] The problem of achieving a sense of depth from photographs of two-dimensional images was largely solved by the invention of the multiplane camera, first used by Disney in *The Old Mill* (Wilfred Jackson 1936). A normal camera table used a platen that held animation cels and background paintings tightly together but the multiplane camera was constructed so that background paintings and overlay cels could be placed on as many as six levels. The different layers were mounted on moveable sheets of glass, each separated by a foot or so. As the camera tracked towards these layers, a sense of depth was achieved through the effect of parallax – the illusion of movement of fixed objects in relation to each other caused by movement of the observer, in this case the camera lens. The different layers could be brought in and out of

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[125] Smoodin, *Snow White*, p. 27.
[126] Leslie, *Hollywood Flatlands*.
[127] Richard Neupert, Painting a Plausible World: Disney's Color Prototypes', in Eric Smoodin (ed.) *Disney Discourse: Producing the Magic Kingdom*. London: Routledge, 1994: 106–17.

focus, imitating live-action cinematography. A panning effect could be obtained by sliding the sheets of glass across the camera's path. The opening shot of *Bambi* is exemplary in showing the sense of space that could be achieved with this equipment.

Naturalistic animation of movement was central to the Disney style of the early feature films but it always posed a challenge because, of course, one can only draw a still image. The animator could get some help from the rotoscope, a machine designed to make a character's movements more lifelike by back-projecting live-action footage, frame-by-frame, onto a drawing board so an outline of the figures could be traced. Rotoscopy was used in *Snow White and the Seven Dwarfs* and in *Bambi* but the problem with the method, and in the end what limited its use, was its incompatibility with the exaggeration intrinsic to caricature,[128] the feature Walt Disney emphasised to his artists that was essential to reveal a character's thinking and therefore motivation.[129] In Disney animation, both movement and form were caricatured. Caricature was needed to create the warmth (which not infrequently ran over into cuteness, as seen for example, with the character of Thumper in *Bambi*) that encouraged the spectator's identification with the protagonists.[130]

Disney anthropomorphised animals by giving them human motivations, expressions, movements and voices. Sometimes a voice was 'so right', that is, so readily acceptable to American viewers, that it dictated the development of a

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[128] Barrier, *Hollywood* Cartoons, p. 196.
[129] Thomas and Johnston, *Illusion*, p. 65.
[130] According to film scholar David Forgacs: 'to see something as cute means to feel a nurturant affection for it as one does for a baby. This feeling can be brought out in children as well as in adults. To develop cuteness therefore means to develop a set of affective relays between adult and baby or child and baby' (David Forgacs, 'Disney Animation and the Business of Childhood', *Screen* 33.4 1992: 361–74).

character, as apparently happened in the case of Thumper in *Bambi*.[131] A frequent Disney trope was miniaturisation in order to allow characters to be more easily assimilated by children. The height of the normal adult human body is equivalent to ten heads but Snow White was drawn eight heads tall, giving her the facial and bodily proportions of a child. Conversely wicked characters, such as Stromboli in *Pinocchio* and the Ringmaster in *Dumbo*, were made very large to correspond with a child's perception of a frightening giant. Simplification was often used to make protagonists stand out from the background, despite the loss of naturalism that might be incurred: Pinocchio's and the Dwarfs' hands, for example, were drawn with only four digits. Disney was, on occasion, prepared to loosen the studio's grip on naturalism in the feature films, to refer to contemporary events and even to indulge in a degree of self-reflexivity. Timothy Q. Mouse's reassuring comments to Dumbo that 'lots of people with big ears are famous' (a gag at the expense of Clark Gable or Bing Crosby, perhaps even a nod to Walt Disney himself), the acronym WDP (i.e. Walt Disney Productions) seen on a hoarding as Casey Jr pulls the circus train to its next gig, the title 'Florida' seen both on the map and on the ground in the aerial view of the state, are examples that come readily to mind. The song 'We're gonna hit the big guy for a raise' probably alludes to the Disney strike which took place while *Dumbo* was in production. Apart from the image of Dopey with his eyes shown as diamonds, the most surrealistic episode in the four films is the Pink Elephants on Parade sequence in *Dumbo*; consistent with Disney's overall insistence on naturalism, however, the dream is actually motivated by the narrative because it occurs during the sleep Dumbo and Timothy fall into after they become drunk by drinking water spiked with champagne. In *Pinocchio*, Jiminy Cricket directly

[131] Ollie Johnston and Frank Thomas, *Walt Disney's Bambi: The Story and the Film*. New York: Stewart, Tabori & Chang, 1990: 1–208, esp. p. 147.

addresses the audience in both speech and song and, as discussed in Chapter 4, the film contains a self-reflexive rumination on the passage of time. Walt Disney's plans for the feature-length animated films, however, ultimately aimed for the spectator to identify with natural characterisations of their protagonists. 'Finally,' wrote Thomas and Johnston in relation to the classic Disney style, '[it is] in the telling of feature-length tales about specific characters who were convincingly real, [that] the full illusion of life was achieved'.[132]

To summarise thus far, in this thesis I explore Disney's first four animated feature films, using psychoanalysis to discover elements that provide insights into the films' appeal to the spectator and thus help us to understand their enduring popularity. In the next chapter, I employ a combination of folklore methodology and segmentation analysis to analyse the prefilmic origins of the stories and the forms their narratives take. The latter method, as well as assisting in the investigation of the films' narrative flow, helps to identify transitions, and differences and similarities between the different plot elements.[133] Moreover intriguing interpretive insights can be gained, for example, by comparing the duration of the various segments of the film. The analyses in Chapter 2 prepare the way, first for interpretive investigations that focus on the content of the films and, second, for an investigation that predominantly concerns issues of film form. As noted in Chapter 3, previous psychoanalytic enquiries into Disney's films have been limited in scope and in method, and so the combination of narrative analysis

[132] Thomas and Johnston, *Illusion*, p. 25.
[133] David Bordwell and Kristin Thompson, 'Film Form and History', *Film Art*, 7th Inter. edn. New York: McGraw-Hill, 2003: 464–500). Kuhn and Westwell, *Dictionary*, p. 365.

with Freudian and post-Freudian models of psychoanalytic theory employed herein offers a novel and productive approach to explication of these films.

Chapters 3 to 6 discuss the individual films. In each chapter an introductory section outlines the major psychoanalytic model employed in the discussion; some information about the film's production is given and then the form and content of the film is discussed in detail. A number of psychoanalytical models are used to elucidate the different films – for example, Lacan's theory of the mirror stage and Klein's model of envy inform discussion of *Snow White and the Seven Dwarfs*, Winnicott's concepts of attachment and separation illuminate events in *Dumbo,* the structure of which film contrasts strikingly with the Oedipal structure of *Bambi*. Psychoanalytic models are supplemented in Chapter 6 with ideas derived from cognitivist film theory, on the basis that the cognitivist approach can be helpful to investigate how an emotional state is transmitted, while the psychoanalytical approach offers an attempt to understand the meaning for the spectator of the emotional state(s) set up by the film. The pluralistic approach adopted in this thesis is predicated on the notion that, while all of the explanatory models help to shed light on the films under study and the spectator's engagement with them, none is definitive and each complements the others.

Chapter 2 Prefilmic Sources and Narrative Structures

In this chapter I describe the prefilmic origins of the stories upon which the four films under consideration were based and provide analyses of the narratives Disney developed for their scripts. Throughout the thesis, the titles *Snow White and the Seven Dwarfs*, *Pinocchio, Dumbo* and *Bambi* are used to refer to the Disney films. The titles of the stories upon which they are based are, as noted below, all different from those of the films, viz. *Snow White*, *The Adventures of Pinocchio, Dumbo the Flying Elephant* and *Bambi, a Life in the Woods*. Two of the films (*Snow White and the Seven Dwarfs* and *Pinocchio*) are based on fairy tales and so I first indicate the way I use the terms that describe their stories.

In the scholarship of folklore, the term folk tale is reserved for any tale deriving from or existing in the oral tradition.[134] An alternative and equivalent term, used particularly in the literature of Russian folklore, is 'wondertale', a term which implies elements of initiation, worship, warning and indoctrination, as well as magic. With the invention of printing, folk tales began to circulate as literary stories and acquired the name 'fairy tale', a translation of the French *conte de fée,* a term first used in the title of a collection of tales printed in 1697.[135] The literary fairy tale may therefore be regarded as a prose subgenre of the oral folk tale and it is in this sense that the term is used in this thesis. The central feature of the fairy tale is the element of miraculous transformation.[136] It is usually of a character, for example, the transformation of a frog into a prince, as in *The Frog Prince* but also of a place, for example, the transformation of the waters at the

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[134] Jack Zipes (ed.), 'Introduction: Toward the Definition of the Literary Fairy Tale', *The Oxford Companion to Fairy Tales*. Oxford: Oxford University Press, 2000: xv-xxxii.
[135] Zipes, 'Introduction', p xxii
[136] Zipes, 'Introduction', p xvii.

bottom of a well into a beautiful meadow, as in *Mother Holle.* Both of these examples are taken from the tales compiled by the brothers Grimm.[137]

Fairy tales initially addressed the concerns of a court society, which means they became appropriated by – and restricted to – people who were adult, educated and literate. The publication in 1812 of *Children's and Household Tales* by the brothers Grimm signalled, however, an understanding of the cultural and pedagogical role of fairy tales. Fairy tales written in the nineteenth century, for example by Hans Christian Andersen, were designed to amuse and instruct both younger and older readers; at the same time the tales provided their readers with an opportunity to escape into a world of fantasy, away from the drudgery of the schoolroom and of industrialised work. According to the folklorist Jack Zipes, the most significant 'revolution' in the institution of the fairy tale, however, took place with Disney's production of the film of *Snow White and the Seven Dwarfs.*[138]

At the time of writing, the Disney company has produced nineteen animated short films and fourteen animated feature films that are based on fairy tales. Like the literary tales upon which they are based, the films have been designed as family films and so address two sets of viewers at the same time – that is, children and their parents. The distinguished American folklorist Stith Thompson considered films an excellent way of disseminating fairy tales, as he wrote in the concluding chapter of his book *The Folk Tale*:

> The cinema, especially the animated cartoon, is perhaps the most successful of all mediums for the presentation of the fairy tale. Creatures of the folk imagination can be constructed with ease and given lifelike qualities. Undoubtedly the best of these performances up to the present

[137] Maria Tatar, *The Annotated Brothers Grimm*. New York: W.W. Norton Company, 2004.
[138] Zipes, 'Introduction', p, xxx

> time [1946] is the Walt Disney production of *Snow White and the Seven Dwarfs*. Many adults who had long ago dropped their interest in fairy tales unexpectedly found great pleasure in this old product of the folk imagination.[139]

Thompson's view does make the assumption that the Disney text is appreciated as one of the many variants that exist.[140] In the event, the Disney versions of fairy tales have become so widely known that some folklorist now worry there is a risk that they will eclipse all others and that the child of today (and perhaps the adult too) will know no other. For example, Marina Warner notes:

> The domain of fantasy where fairy tales grow has a long, heterodox pedigree, and there has been in history a prolonged struggle between different social groups to control the story teller. The genre's fortunes have entered a new phase: a certain view of fairy tales is being naturalised by companies such as Disney, and then domesticated by publishers like Ladybird Books, who have now struck a deal with Disney so that all the illustrations are based on the films' graphics and story line … the imagination of children reared on Ladybird fairy tales will be saturated with the Disney version, graphic and verbal.[141]

In exploring the enduring popularity of *Snow White and the Seven Dwarfs, Pinocchio, Bambi* and *Dumbo*, it is helpful to look at the changes made by Disney to the stories upon which the films were based and to consider the reasons for these changes. Some of the reasons have to do with issues of film production (for example, in *Snow White and the Seven Dwarfs* the animation potential of the Seven Dwarfs and the obligatory happy ending of a Hollywood family film) but social and cultural views at the time the films were made have also to be taken

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[139] Stith Thompson, 1946, *The Folktale*. Berkeley: University of California Press, 1977 [1946]: 1–510, esp. p. 461.
[140] Mikel Koven, 'Folklore Studies and Popular Film and Television: A Necessary Critical Survey', *Journal of American Folklore* 116.2. 2003: 176–95.
[141] Marina Warner, *From the Beast to the Blonde: On Fairy Tales and Their Tellers*. London: Vintage, 1995: 1–458, esp. p. 416.

into account. These points are taken up in later chapters in relation to the individual films. Other changes, for example the omission of any mention of the circumstances of Snow White's birth because of the studio's wish to streamline the flow of narrative,[142] have significant implications for interpretation of the films. Thus, the absence in the Disney version of any reference to Snow White's father or to her mother's death attenuates the Oedipal impact of the film and, as explained in Chapter 3, invites a Kleinian reading as against Bettelheim's Freudian account of the Grimms' tale.[143]

The present chapter considers aspects of both the narrative and non-narrative components of the films, identified according to the principles developed by the Russian Formalist folklore scholar Vladimir Propp,[144] and links the resulting analysis to the psychoanalytic concepts discussed in the previous chapter. Within Film Studies, a number of Proppian analyses of film narratives that are not based in folklore have been conducted,[145] including one on animated short fiction films,[146] and the method has been set out in a recent textbook aimed

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[142] Kaufman, *Fairest*, p. 99.
[143] Bruno Bettelheim, *The Uses of Enchantment*. London: Penguin Books, 1976: 194–215.
[144] V. Propp, 1958, *Morphology of the Folk Tale*, 2nd edn., edited by Louis A.Wagner, American Folklore Society Biographical and Special Series. Austin: University of Texas, 1968: 1–158.
[145] For example, Patricia Erens, '*Sunset Boulevard*: A Proppian Analysis', *Film Reader* 2 1977: 90–95; John T. Fell, 'Vladimir Propp in Hollywood', *Film Quarterly* 30.3 1977: 19–28; Jim Hala, '*Fatal Attraction* and the Attraction of Fables: A Morphological Analysis', *Journal of Popular Culture* 36.3 1992: 71–82; Annette Kuhn, '*The Big Sleep*: Censorship, Film Text and Sexuality', *The Power of the Image. Essays on Representation and Sexuality*. London: Routledge & Keegan Paul, 1985: 74–95; Peter Wollen, 'North by Northwest: A Morphological Analysis', *Film Form* 1.1 1976: 19–34.
[146] Film scholar Richard Leskosky describes what he terms a Reforming Fantasy in an analysis of the structural basis of seventeen short cartoon films produced by several different American studios. His analysis is closely based on, although not identical to, Propp's analysis of folktales. Leskosky found that the theme of a character changing her/his behaviour because of a fantastic experience or dream recurred in cartoon films made in different studios across several decades. Though he did not study *Pinocchio* and *Dumbo* in detail, Leskosky considers their narratives also contain features of the Reforming Fantasy (Richard J. Leskosky, 'The Reforming Fantasy: Recurrent Theme and Structure in American Studio Cartoons', *The Velvet Light Trap* 24 1989: 53–6.

at Film-Studies undergraduates.[147] Films based on fantasy or modern fairy tales have also been the subject of some recent Proppian analyses, for example, Paul Simpson's study of *Harry Potter and the Philosopher's Stone* (Chris Columbus 2001) and of Disney's animated feature film *The Jungle Book* (Wolfgang Reitherman 1967).[148] More pertinently, the method features in Eric Smoodin's recent book-length account of *Snow White and the Seven Dwarfs.*[149]

In an investigation of the structure of one hundred Russian wondertales or fairy tales, Propp reduced the 1500 or so plot constituents they contained to thirty-one narrative *functions*, that is to say, to actions or moves that formed the basic building blocks of the narratives he analysed.[150] These functions follow a chronological, linear sequence. They serve as fundamental components of the narrative – stable and constant, the functions are independent of how or by whom, in terms of a particular character's name in a particular story, they are fulfilled. In Propp's scheme, they are defined by their significance to the course of the action of the tale as a whole. A Proppian summary of Bambi's struggle to save Faline during the film's climactic ending would, for example, refer to 'The hero and a villain join in combat' rather than, say, a description like 'Bambi fights the hunters' dogs to save Faline during the forest fire caused by the hunters' carelessness'. Propp discovered that each tale normally contains only a selection of the thirty-one functions but that the functions always occur in the same order. The tales are composed of series of moves, from an initial 'villainy' or 'lack',

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[147] Etherington-Wright and Doughty, *Understanding*.
[148] Paul Simpson, *Stylistics: A Resource Book for Students*. London: Routledge, 2004: 70–4.
[149] Smoodin, *Snow White,* p. 43.
[150] The prototype Russian wondertale or fairy tale presents a hero who, in order to solve a problem or win a princess, is given a magical device by a supernatural agent. The story contains heroes, princesses, flying horses etc. and depicts battles, brandings and unmaskings (Bordwell, David. 'ApProppriations and ImProppriеties [sic]: Problems in the Morphology of Film Narrative', *Cinema Journal* 27.3 1988: 5–20).

which sets the story in motion, to the wedding of the hero and princess, or its functional equivalent, which typically closes the story. The order of moves is fixed partly by logic (for example, the villainous Queen of the Snow White story cannot be punished before she is defeated) and partly by the results of Propp's empirical enquiry. As an example, the narrative functions of *Snow White and the Seven Dwarfs* are shown in Table 2.1, in which, it should be noted, the functions that are absent from the film are printed in grey.

In Propp's scheme, characters are seen as mechanisms for distributing the functions around the story and are referred to as spheres of action, that is, they are seen as having narrative functions (or 'tale-roles', to use the terminology of David Bordwell), rather than existing as individual personalities. The villain fights and pursues the hero; the donor or provider provides the hero with a magical agent; the helper assists the hero to escape or to overcome misfortune or lack, or transfigures the hero or solves tasks. Propp identified seven spheres of action and, by combining them with permutations of selected moves, he was able to generate the plot of any of the tales he investigated. The spheres of action in *Snow White and the Seven Dwarfs* are shown in Table 2.2. Those missing from the film are printed in grey.

This method of analysis has been found of value in a range of narrative media well beyond the confines of Russian folklore and can be productively deployed in investigating narratives more complex than those typically found in classical fairy tales. A single character may inhabit more than one sphere of action (in Pinocchio, Geppetto is both a 'sought-for person' and a 'helper'), while a single sphere of action may involve several characters (in Snow White and the Seven Dwarfs, the Dwarfs and the many animals are 'helpers'). Narrative moves

Table 2.1 Narrative functions in *Snow White and the Seven Dwarfs*

Preparatory Section:
1. One of the members of a family absents himself from home
2. An interdiction (ban) is addressed to the hero
3. The interdiction is violated
4. The villain makes an attempt at reconnaissance (the Queen observes Snow White and the Prince)
5. The villain receives information about his/her victim ('She is the most beautiful,' the Magic Mirror tells the Queen)
6. The villain attempts to deceive his/her victim (implied by the Queen's instructions to the Huntsman)
7. The victim submits to deception and thereby unwittingly helps his enemy (Snow White goes to the forest with the Huntsman)
Villainy / Lack (Plot set in motion):
8. The villain causes harm or injury to a member of a family
8a. One member of a family either lacks something or desires to have something (the Queen desires to be the fairest in the land)
9. Misfortune or lack is made known: (Snow White learns from the Huntsman that she is the target of the Queen's jealousy; she is instructed to 'Go far away and never return')
10. The seeker (hero) agrees to or decides upon counteractions
11. The hero leaves home (Snow White's flight)
12. The hero is tested, interrogated, attacked, etc. which prepares the way for his/her receiving either a magical agent or helper. (Snow White's terror in the forest)
13. The hero reacts to the actions of the future donor (Snow White talks to the animals)
14. The hero acquires the use of a magical agent
15. The hero is transferred, delivered, or led to the whereabouts of an object of search (Snow White is taken to the Dwarfs' cottage)
Path A: Struggle and Victory over Villain; End of Lack and Return:
16. The hero and villain join in direct combat
17. The hero is branded (Snow White in her coffin)
18. The villain is defeated. (The Peddler/Queen, chased by the Dwarfs and animals falls to her death)
19. The initial misfortune or lack is liquidated.
20. The hero returns
21. The hero is pursued
22. The hero is rescued from pursuit
Path B: Unrecognised Arrival, Task, Recognition, Punishment, Wedding:
23. The hero, unrecognised, arrived home or in another country
24. A false hero presents unfounded claims
25. A difficult task is proposed to the hero
26. The task is resolved or accomplished
27. The hero is recognised, often by a mark or an object (Snow White is recognised by the Prince in her sleep of death in the casket)
28. The false hero or villain is exposed and/or punished
29. The hero is given a new appearance (Snow White is reanimated by the Prince's kiss)
30. The villain is pursued
31. The hero is married and ascends the throne (implied but not shown)

may follow each other, or a new episode (a subplot, for example) may ensue before the first has ended, as demonstrated in Annette Kuhn's unravelling of the famously impenetrable plot of Howard Hawks' 1939 film of *The Big Sleep*.

Resolutions of plotlines may overlap or be delayed (as, for example, by the two deceptions enacted on Pinocchio by Honest John and Gideon).

Table 2.2 Spheres of action in *Snow White and the Seven Dwarfs*

The Villain	=	Peddler/Queen/Witch
The Donor/Provider		
The Helper	=	The Seven Dwarfs, the animals, The Prince
The Sought-for person	=	Prince
The Dispatcher	=	Huntsman
The Hero	=	Snow White
The False hero		

While I acknowledge that, for the very reason of its abstraction, textual analysis of the structure of narratives needs to be complemented by historical, social and psychological explications, Propp's approach does have value for understanding the workings of film plots. Exposure of the underlying structure of the narrative may not only assist understanding of the film, as in the example of *The Big Sleep* just noted, but it may also open the film up to interpretation via other methods, including psychoanalysis. As Paul Simpson comments, 'Proppian analysis reveals that many of the archetypical patterns that inform fairy stories continue to flourish in contemporary narratives'.[151] The method can be used to investigate how far a particular story, for example that of Disney's *Snow White and the Seven Dwarfs*, continues to resonate with the structure of the fairy tale upon which it is based.[152]

Within Film Studies, Propp's schema is most productively used not as a *post facto* 'application' of a pre-existing set of rules but in what David Bordwell

[151] Simpson, Stylistics, p. 74.
[152] Alan Dundes, 'The Psychoanalytic Study of Folklore', *Annals of Scholarship* 3.3. 1985: 1–42.

has called its 'mild version'.[153] By this, Bordwell refers to a loose template, inductively derived, that sheds light on underlying plot structures of individual films or compares them across groups of films and that works as a starting point for further analysis of both narrative and non-narrative elements. Such an analysis can assist in unravelling a complex film plot or in identifying and exploring plot motifs and narrative trajectories that characterise a particular film genre, as for example in Will Wright's study of the Hollywood Western.[154]

In contrast to Peter Wollen's deductive application of the complete Proppian scheme to the narrative of *North by Northwest* (Alfred Hitchcock 1959),[155] the work described here deploys the method inductively, by inferring an underlying narrative structure of a group of films that are either directly based on fairy tales or which embody a number of their features. Of course, an analysis that focuses on plot alone omits other elements, such as narrative viewpoint, issues of film style and other aspects of medium specificity and so cannot by itself address the fascination and pleasure experienced by the spectator watching films.[156] Notwithstanding its roots in a specific type of non-cinematic narrative, however, I have found that Proppian analysis, particularly when complemented by the interpretive approach offered by psychoanalytic theory, sheds light on the way the films discussed here engage the spectator. In addition, and perhaps more significantly for this thesis, in laying bare the narrative structure Proppian analysis opens the films up to psychoanalytic interpretation.

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[153] Bordwell, 'ApProppriations'.
[154] Will Wright, *Sixguns and Society: A Structural Study of the Western* Berkeley, CA: University of California Press, 1975: 1–232.
[155] Wollen, 'North'.
[156] Sheila Johnston, 'Film Narrative and the Structuralist Controversy: Propp', in Pam Cook (ed.) *The Cinema Book*, 1st edn. London: British Film Institute, 1985: 234–8.

Proppian analysis clearly pinpoints the films' individual narrative elements and is therefore helpful in identifying non-narrative sequences in which the story tellers, in this case the film-makers, have a flexibility of expression that would otherwise be constrained by the narrative requirements of representing the story. I argue that it is by studying these additional components that one can most readily appreciate aspects of a film that would otherwise escape attention, such as the significance of the extraordinary amount of screen time devoted to washing and cleaning in *Snow White and the Seven Dwarfs* and the elaborate and extensive focus on the recording of time in *Pinocchio*. Finally, from a psychoanalytic perspective, it is undoubtedly of significance that the Proppian moves begin with the dissolution of a family ('1. One of the members of a family absents himself from home') and end with the formation of a new one ('31. The hero is married and ascends the throne.'), a progression that contains within it the kernel of the Oedipal struggle and which provides a link from Propp's scheme to a form of interpretive investigation not amenable to plot analysis alone. The point is underscored by Alan Dundes' observation that fairy tales are always told from the child's point-of-view, not the parents':[157] and this, I would argue, is true of the stories in the four films that are the subject of the present enquiry.

Snow White and the Seven Dwarfs is based on the story of *Snow White,* one of the many German folk tales the Brothers Grimm collected, recorded and transformed into literature in the nineteenth century. The book which opens and closes the film (shot in live action, as pointed out by JB Kaufman)[158] signals this origin, although the ability to read the type of imitation Gothic script on its pages

[157] Dundes, 'Psychoanalytic', pp. 50–65, esp. p. 54.
[158] Kaufman, *Fairest*. p. 99

is beyond most seven year olds, the age of the Snow White of the Brothers Grimm.

Disney has been criticised for making changes to the story published by the Grimms but, as noted above, textual stability is not an important feature of the genre of folklore and fairy tales. One report describes an analysis of more than seventy variants of the *Snow White* story and concludes that the core tale consists of two parts, each with a pattern of rivalry, attack and rescue.[159] In the first, the episodes cover the origin of the beautiful heroine, the jealousy of her persecutor, her expulsion from home, adoption by Dwarfs and rescue from her homeless plight. The second begins with renewed jealousy, continues with the heroine's apparent death and the exhibition of her corpse which brings her to the attention of a suitor, and ends with Snow White's resuscitation and marriage and the punishment of her persecutor. Disney's additions to the Grimms' version included enhancing the characterisation of certain of the protagonists (for example, those of the Queen and the Dwarfs, as discussed in Chapter 3), introducing digressions (Snow White's cleaning the cottage and the Dwarfs), adding minor characters (the numerous animals) and - very importantly - adding spectacle, music, songs and visual gags.

In comparing Disney's film with the story published by the Grimms, I have used the version contained in the seventh and final edition of *Children's Stories and Household Tales*, as translated and annotated by Maria Tatar[160] because it is authoritative and readily available and because it was upon this version of the

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[159] Steven Swann Jones, *The New Comparative Method: Structural and Symbolic Analysis of the Allomotifs of 'Snow White'*, vol. 247, Helsinki: Suomalainen Tiedakatemia, 1990: 1–134.
[160] Jacob & William Grimm, 1857, 'Snow White', in Maria Tatar (ed.) *The Annotated Brothers Grimm*. New York: W.W. Norton, 2004: 240–55.

Grimms' tale that Disney based the film[161] The main changes to the plot made by Disney are summarised in Table 2.3, which is based largely although not entirely on analyses by Thomas Inge[162] and Jack Zipes.[163]

Apart from introducing the Prince at the beginning of the story, necessary because of the perceived need of modern cinema-goers for a romantic attraction between the protagonists (in this case, love at first sight) rather than a union of complete strangers, and making no mention of Snow White's birth and her mother's death, the Disney version maintains the traditional narrative structure of the Snow White cycle of folktales.[164] Otherwise, the changes to the Grimms' version are mainly to emphasis, detail and tone. Disney's choice of a boar's heart rather than its liver and lungs as the Huntsman's evidence of his murder of Snow White is an effective use of a symbol of the love the Queen wished to kill and the sequences of Snow White in the forest and the Queen's transformation in the dungeon are expressionistic triumphs of the studio's animation skills. The untidy and dirty state of the Dwarf's cottage and Snow White's volunteering to clean it are entirely Disney inventions. As discussed in Chapter 3, the elimination of any mention of Snow White's mother and father reduces the Oedipal force of the literary version.

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[161] The screenplay was also influenced by Winthrop Ames' stage production of 1912, which itself drew upon several earlier productions of *Snow White* (Karen Merritt, 'The Little Girl/Little Mother Transformation: The American Evolution of *Snow White and the Seven Dwarfs*', in John Canemaker (ed.) *Storytelling in Animation: The Art of the Animated Image*, vol. 2. Los Angeles: The American Film Institute, 1988: 105–21). Ames also wrote the screenplay for the silent live-action film *Snow White* (Searle Dawley 1916: which, as described by Karen Merritt, Walt Disney had seen at the age of sixteen. That film is included on the DVD of *Il Était une fois...Walt Disney* (Samuel Doux 2006).
[162] M. Thomas Inge, 'Art, Adaptation and Ideology: Walt Disney's *Snow White and The Seven Dwarfs*', *Journal of Popular Film and Television* 32.3 2004: 132–42.
[163] Jack Zipes, *Fairy Tale as Myth/Myth as Fairy Tale*. Lexington: The University Press of Kentucky, 1994: 1–192.
[164] Inge, 'Art'.

Table 2.3 *Snow White*: Main points of difference between Grimms' Fairy Tale and Disney's Film

Grimm	**Disney**
Snow White	*Snow White and the Seven Dwarfs*
1. Main action starts when Snow White reaches the age of seven	1. Snow White is about fourteen years old
2. Prologue is included: Snow White's mother pricks her finger and wishes for a child … mother dies	2. Prologue is omitted: no information is provided on Snow White's origin or her mother's death
3.The King remarries	3. The King is omitted
4. No Cinderella role for Snow White	4. Snow White is depicted in a Cinderella role, cleaning the castle steps in a ragged dress
5. The Prince appears at the end of the story	5. The Prince appears at the beginning of the story
6. The Queen is jealous of Snow White's beauty	6. The Queen is not only jealous of Snow White's beauty but also of her having a handsome suitor
7. The Queen instructs the Huntsman to murder Snow White and bring back her lungs and liver	7. The Queen instructs the Huntsman to murder Snow White and bring back her heart in a casket
8. The animals in the forest approach Snow White but do her no harm	8. The forest and animals are anthropomorphised and the animals are friendly and protective
9. The Dwarfs' cottage is clean	9. The Dwarfs' cottage is dirty and disorganised
10. Dinner is prepared, which Snow White eats	10. Snow White and the animals volunteer to clean the cottage, after which she prepares the dinner
11. The Dwarfs mine gold and minerals and are anonymous	11. The Dwarfs are hardworking and rich miners of precious gems with individual characteristics and names
12. The Queen boils and eats the lungs and liver of the boar, thinking she is indulging in cannibalism	12. The Queen discovers she has been given heart of a boar; the potential cannibalism is omitted
13. The Queen decides to murder Snow White herself	13. The Queen descends to her dungeon to make a magic potion that turns her into an ugly witch; makes a poisoned apple and its antidote
14. The Queen comes to the Dwarfs' cottage three times	14. The Queen comes to the Dwarfs' cottage once
15. The Dwarfs play a minor role in defeating the Queen	15. The Dwarfs are the agents that defeat evil
16. The Queen is made to dance to her death in red hot iron shoes at Snow White's wedding feast	16. The Queen is killed during a storm while trying to escape. The wedding is omitted
17. Snow White is resuscitated by the apple being dislodged by a jolt	17. Snow White is resuscitated by the Prince's kiss
18. Story ends with the stepmother's humiliating death at the wedding	18. Story ends with Snow White being led off into the sunset by her Prince
19. The story is of unspecified duration but of several years	19. The duration of the core plot is condensed into a few days

Several authors have commented on the ameliorative effects of condensing the three attempts the Queen makes on Snow White's life into one, of eliminating the Grimms' version of the Queen's death and of Disney's emphasis on the Dwarfs at the expense of the Queen.[165] The Queen's belief, in the Grimms' version, that she had cooked and eaten her daughter's liver and lungs, presumably in order to acquire her beauty by cannibalistically incorporating Snow White's body into her own, is clearly unacceptable in a family film and was omitted from the Disney version. In the Grimms' story, the witch provides no antidote to the spell she casts because she intended the death to be permanent. As discussed in Chapter 3, the film also contains a number of cinematic devices which help to attenuate the more frightening aspects of the story. Nevertheless, Disney's representation of Snow White's flight through the forest and of the Queen's transformation and her pursuit and death in the thunderstorm does maintain some of the terror of the original story. Indeed, in the UK, the film was issued with an A Certificate on its initial release – meaning that under-16s had to be accompanied by an adult – and after World War II, in order for it to receive a U certificate, the British Board of Film Censors demanded that two scenes be cut: that of Snow White falling into the swamp during her flight through the forest and that of the Queen in her dungeon.[166]

Lastly, the Disney version of *Snow White* incorporates elements of *Cinderella* and *Sleeping Beauty*, both of which the studio later reincarnated in

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[165] Bettelheim, *Uses;* Inge, 'Art'; Schickel, *Disney*; Jack Zipes, *The Brothers Grimm: From Enchanted Forests to the Modern* World. New York: Pallgrave Macmillan, 2002: 1–331. According to Schickel, in the Grimms' version, the gifts the Queen offered were designed to appeal to Snow White's narcissism, that is, to her attraction to decorative stay-laces and combs. Elimination of these episodes simplified and shortened the film but it also removed any hint of Snow White's self-regard, so allowing her to be represented as the unsullied victim of the Queen's deception that the Disney version required.

[166] Allan, *Walt Disney*, p. 62.

feature-length animated films but it omits the allusion in *Snow White* to *Goldilocks and the Three Bears.*

My examination of the narrative structure of *Snow White and the Seven Dwarfs* begins with analyses of the plot's functions and spheres of action, according to Proppian principles, as set out in Tables 2.1 and 2.2 respectively. The plot segmentation, set out in Table 2.4 illustrates the pattern of the film's narrative and non-narrative components.

Fairy tales typically begin with harm or villainy (for example, the Queen's attempt to kill Snow White) or with the villain's desire to have something he or she lacks (the Queen's envy of Snow White's beauty) and develop through the hero's departure from home (Snow White's escape into the forest) and encounters with a helper (the Dwarfs who provide her with shelter and safety). Further along, the tale includes deceptions by, and combat with, an adversary (the Queen's deceptions and poisoning of Snow White), a return (not present in the film) and a pursuit (the animals and the Dwarfs chase the Queen). Closure is provided as the villain is defeated (the Queen falls to her death) and the hero(ine) is recognised (Snow White is found by the Prince), marries and ascends to the throne (implied though not actually shown in the film).

Segment A, which introduces the situation and characters (screen time of 5½ minutes), segment B which describes Snow White in peril but brought to safety (8 minutes), Segment D which describes Snow White in safety (home with the Dwarfs) versus peril (the castle and the Queen) (19 minutes) and Segment E which describes the death of the Queen (7 minutes), all propel the narrative in a way consistent with Propp's scheme. In contrast, Segment C – at almost 34

minutes quite the longest in the film – focuses mainly on domestic issues (cleaning the house) and proper behaviour (cleaning the Dwarfs), as does Segment D 6–7 (a further 10 minutes – the Dwarfs' entertainment followed by preparation for bed). These narrative detours amount to one-third of the film's running time and are not required by the film's primary narrative. Their significance is explored in Chapter 3.

Turning to a form of narrative analysis that focuses on how the story is told, the film has a double-ended frame composed of gothic-style script printed on the pages of a white leather-bound gold-braided volume. An invisible hand opens the book to reveal the phrase 'Once upon a time', followed on the next page by an account of the envy of Snow White's stepmother. This classic fairy tale opening is mirrored by the book's reappearance at the end of the film, this time with the classic fairy tale ending 'And they lived happily ever after', followed by the book closing, again through the agency of an invisible hand. The mimetic narrative embedded within this frame is interrupted only once, to allow important information about the passage of time to be compressed into a few seconds of screen time by describing it on intertitles. A second double-ended frame is provided by the opening and closing images of the film's action (both a multiplane zoom-in on a castle) and a third double-ended frame is provided by the serenade the Prince sings when he first meets Snow White ('One Song'), repeated at the end of the film when he discovers her in the glass coffin. The significance of this framing is discussed in Chapter 3.

Table 2.4 Plot segmentation of *Snow White and the Seven Dwarfs*

Segment A: **Introduction to story, place and characters**
1. Opening shot of book: 'Once upon a time…'
2. Queen interrogates her magic mirror
3. Snow White cleans by the Wishing Well and sings to the birds
4. Prince arrives and they look into the Wishing Well together
5. Prince serenades Snow White while the Queen angrily observes them

Segment B: **Snow White in peril and brought to safety**
1. Queen instructs Huntsman to 'Kill her and bring back her heart.'
2. Huntsman prepares to kill Snow White, relents and warns her to escape
3 Snow White's flight through the forest and her collapse
4. Animals watch Snow White sobbing.
5 Snow White is befriended by the animals which lead her to the cottage

Segment C: **The Cottage and the Dwarfs**
1. Snow White and the animals clean the cottage and wash the clothes.
2. The Seven Dwarfs in their diamond mine; they return home.
3. Snow White goes upstairs, discovers the Dwarfs' names

The Dwarfs approach the cottage, notice it's clean and discover Snow White
5. Snow White asks to stay; Dwarfs agree, providing she keeps house
6. Snow White runs downstairs to put cooking pot on the fire
7. Snow White insists the Dwarfs wash their hands before supper
8. Grumpy forced to wash by the other Dwarfs

Segment D: **Safety (home and the Dwarfs) versus peril (castle and Queen)**
1. Magic mirror reveals Snow White is still alive
2. Queen descends to cellar and creates magic potion
3. Queen's transformation into old pedlar woman
4. Queen consults book and creates poisoned apple
5. The party in the Dwarfs' cottage: Snow White sings of the Prince
6. Peddler/Queen takes poisoned apple from the cauldron
7. Peddler/Queen learns about antidote ('love's first kiss')
8. Peddler/Queen leaves the castle in rowing boat
9. Doc warns Snow White to beware of strangers; Dwarfs leave for work
10. Peddler/Queen enters cottage (first deception, a prohibition is violated)
11. Peddler/Queen offers Snow White the poisoned apple (second deception)
12. Dwarfs leave for work, then while working, animals try to pull them away
13. Snow White bites the apple (third deception) and collapses
14. Peddler/Queen flees the cottage in a rain storm

Segment E: **Resolution 1: Death of Peddler/Queen**
1. Animals warn the Dwarfs of the Peddler/Queen's approach
2. Animals and Dwarfs chase the Peddler/Queen who tries to escape
3. Lightning strikes and the Peddler/Queen falls to her death

Segment F: **Resolution 2: Snow White resuscitated by the Prince's kiss**
1. Snow White on a bier in the cottage
2. Three intertitles indicate passing of the seasons
3. Snow White in glass coffin outside
4. Prince arrives, kisses Snow White; she awakens and they leave together
5. Prince's Castle

Segment G: **The End**
1. Title in leather-bound book: 'And they lived happily ever after'
2. Book closes

The film's opening and closing are diegetic, as is the highly compressed information contained in the three intertitles concerning the duration of Snow White's sojourn in her glass coffin. The term 'diegetic' is used here, and in the sections on the prefilmic origins of the other films, in its narrative sense, to indicate 'telling' as opposed to 'showing' (i.e. diegesis versus mimesis). Elsewhere in this thesis the term diegesis is used to reference the world, and the events that exist within the world, created by the film's story and experienced by the film's characters. In this latter sense, the term diegesis includes what is visible on the screen but also off-screen elements that are presumed to exist in the world that the film depicts.[167] As an example, as the Dwarfs set off for the mine, Snow White kisses them all goodbye but we do not see her kiss Sleepy because the camera is 'watching' Dopey at the side of the cottage when we assume the action, the kiss, to have taken place. The hunters in *Bambi* provide an example of off-screen characters being part of the diegesis: they never appear on-screen, despite their pivotal role in the narrative.

The film's narrative viewpoint – its alignment, to use the terminology of Murray Smith – is generally *external*: that is, we obtain most of our information about what is happening from outside of any of the characters in the film. Although there are optical point-of-view shots of several characters, for example the Queen's view of the genie in the mirror and the genie's view of the Queen and Snow White's when she first sees the Dwarf's cottage, our major allegiance, again in the sense that the term is used by Smith, is to Snow White, because, compared with other characters in the diegesis – even the Dwarfs – the film marshals our sympathies towards her. Expectations are aroused by the very title of the film and the delay in her first appearance adds to the spectator's sense of

[167] Kuhn and Westwell, *Dictionary*, p. 116.

anticipation. She is introduced as an innocent Cinderella-like victim of the Queen's envy and shortly thereafter is threatened with murder. Indeed, in each of the films under discussion, our major allegiance is to the film's eponymous protagonist, a position supportive of Dundes' observation that fairy tales are told from the child's point-of-view.

In *Snow White and the Seven Dwarfs*, as in *Bambi* but in contrast to *Pinocchio* and *Dumbo*, the authorial voice is entirely effaced, consistent with the notion that this film is telling an archaic story from distant times. Time is handled in a linear way except for four episodes of crosscutting. The first of these occurs with the dissolve from the Queen's question to the mirror to Snow White's cleaning the steps. The second occurs with the cut from the Queen's preparation of the poisoned apple to the party in the Dwarfs' cottage, which we may assume to be taking place at the same time. The third, introduced to increase a sense of suspense and menace, occurs when the Queen leaves the castle on her murderous mission at the very time Doc warns Snow White to beware of strangers. The fourth, introduced to enhance the feeling of excitement and suspense, occurs as the Dwarfs and animals chase after the Queen as she attempts to escape. The lack of flash-forwards and flash-backs is typical of fairy tales and is a feature of each of the four films under discussion. It simplifies the stories and enhances their accessibility.

Pinocchio is based on a children's story written by Carlo Lorenzini (1826–1890), a journalist and novelist from Florence, who wrote during and after the Risorgimento under the pen name of Collodi, the name of the village in Tuscany where his mother was born. The name of the eponymous hero is the Tuscan

word for ‘pine nut’ (the more commonly used Italian word is pinolo). Pine nuts were an important ingredient in Tuscan peasant cooking and, by using the word Pinocchio for his protagonist’s name, Collodi was apparently signalling a contempt for pretension.[168] Like the book, the film has several elements of a fairy tale, viz. a wooden puppet that talks and is miraculously transformed into a boy, talking animals that mix with humans, boys who change into donkeys, ogre-like humans, a monstrous creature and the Blue Fairy who acts as a fairy godmother to the puppet.

As recounted by Ann Lawson Lucas, a friend persuaded Collodi to write for his newly founded *Paper for Children.*[169] The newspaper’s first issue in July 1881 contained the opening instalment of ‘*The story of a puppet*’ and the series finished with the puppet hanged on the branch of an oak tree. It was restarted in response to children’s demands, with its title changed to ‘*The Adventures of Pinocchio*’. Pinocchio becomes a ‘proper boy’ in the final instalment. Initially conceived, therefore, as a serial in the manner of a Dickens novel, the story was published the following month in book form, with drawings by Enrico Mazzanti, as *The Adventures of Pinocchio.* The episodic nature of the novel’s narrative is maintained in Disney’s film. More than two hundred and forty Italian editions of the novel have been published, testifying to the book’s widespread popularity and central position in the children’s literature of Italy.[170] Lucas states that ‘Pinocchio’s difficult and dangerous journey through experience to knowledge has been compared to the Odyssey and to Dante’s Divine Comedy’ and that ‘In Italy especially, as much has been written about it and as many interpretations

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[168] *Bee Wilson,* ‘No Strings’, *London Review of Books* January 1, 2009: 21–23.
[169] Ann Lawson Lucas (ed.), ‘Introduction’, *The Adventures of Pinocchio*. Oxford: Oxford University Press, 1996: vii-xlvi.
[170] Umberto Eco, Introduction’, in Geoffrey Brock (ed.) *The Adventures of Pinocchio*. New York: New York Review of Books, 2009: ix-xi.

put forth as for those great works of world literature.[171] Walt Disney's decision to adapt *The Adventures of Pinocchio* for his second full length film was, as discussed in Chapter 4, consistent with his wish for these first feature films to reflect the studio's ability to produce films with aspirations of 'high art'.

The first translation into English of *The Adventures of Pinocchio* was published in 1891, since when there have been 'well over a hundred complete or nearly complete translations, abridgements, *rifacimenti*[172] and adaptations for the theatre,' most of which are shortened versions of the novel.[173] Collodi's story tells of a wooden puppet that comes alive while being carved from a piece of firewood. According to Nicolas Perella, *The Adventures of Pinocchio* 'follows the nineteenth-century pattern of children's stories in serving as a vehicle of social instruction and, it would seem, of character building in the name of a productive, middle class ethic'. To this end, Collodi created an impudent protagonist who never hesitates to question and mock authority. Though clever and courageous, Pinocchio is subject to numerous calamities, followed by sorrow, remorse and yet more moral lapses that end in yet more calamities. This recurring cycle is brought to an end by Pinocchio's descent into the belly of a shark in which Geppetto has been trapped. Their escape represents Pinocchio's rebirth and Pinocchio's rescue of his father represents his redemption. After completing just a few more tasks, Pinocchio is rewarded by being transformed into a proper boy. The book contains many dark events, the most disturbing of which are the threats and actuality of death and the frequent reminders of, and ruminations upon, poverty, hunger and starvation.

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[171] Lucas,' Introduction', p. xliv.
[172] Recasts or adaptations, as of a literary or musical work.
[173] Nicolas J. Perella (ed.), An Essay on *Pinocchio*', *Le Avventure di Pinocchio* [*The Adventures of Pinocchio*]. Berkley: University of California Press, 1986: 1–69.

A detailed account of the novel's publishing history in the United States has been compiled by Richard Wunderlich and Thomas Morrissey.[174] They consider the years of the Depression to be the golden age of Pinocchio's popularity, as indicated by the large number and often lavish quality of the new editions produced. Yet as the 1930s came to a close, three new versions radically changed the representation of Collodi's novel. First was a stage production by Yasha Frank, director of the Children's Unit of the Federal Theatre Project.[175] Frank's play, which he wrote and directed, opened at the Beaux Arts Theatre in Los Angeles in June 1937 and ran to capacity for more than a year. Seventy-five percent of the theatre-goers were adults.[176] Wunderlich and Morrissey cite John O'Connor and Loraine Brown and a personal communication from David R. Smith of the Walt Disney Archives to justify their statement that Walt Disney and his technical staff attended eight separate performances of Frank's play that June.[177] They note that work at the Disney studio on the story design of Pinocchio began at the end of 1937.

Frank had radically revised both theme and characters to provide a post-Depression message that preached against individual greed in favour of a caring community that accepts responsibility for its children.[178] Rather than the active, headstrong and impertinent puppet created by Collodi, Frank's Pinocchio is docile, passive and generally obedient. The test he has to pass to become a real

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[174] Richard Wunderlich and Thomas J. Morrissey, *Pinocchio Goes Postmodern*. London: Routledge, 2002: 1–304.
[175] Yasha Frank, *Pinocchio (a Musical Legend)*. From the story of A. (sic) Collodi. Text and Lyrics by Yasha Frank. Prepared for publication by Bernice Zaconick. New York: Edward B. Marks Music,1939.
[176] John O'Connor and Loraine Browne, *Free, Adult, Uncensored: The Living History of the Federal Theatre Project*. Washington, DC: New Republic Books, 1978: 1–228.
[177] The entire story department also attended a stage performance of *Pinocchio* at the Wilshire Ebell Club, which, apparently, they found very tedious: it was disrupted by paper darts flung from the balcony by Roy Disney's son (Jack Kinney, *Walt Disney and Assorted Other Characters*. New York: Harmony Books, 1988: 1–207, esp. p. 110.
[178] Wunderlich and Morrissey, *Pinocchio*, p. 89.

boy is to overcome greed. Frank omitted the Talking Cricket and invented a 'Monster Whale' to replace Collodi's shark. Frank's Geppetto lacked the mixture of tenderness and frustration of Collodi's. His motive for creating the puppet was a desire for someone to love rather than, as in the novel, for someone to support him in his old age.

The second version of the story to appear at the end of the decade was a book by Roselle Ross called *Pinocchio: A Story for Children*, published in June 1939.[179] Its narrative and description 'follow the same path as [Frank's play]...and the characters and episodes emphasise just a single mood: happiness or merriment'.[180]

The third version was Disney's *Pinocchio.* Walt Disney had commissioned a translation of Collodi's story by a staff member in 1937 and purchased several editions of the novel in English and Italian, as well as two versions for the stage, though evidently not a copy of Frank's play.[181] While the story lines can be distinguished, Disney's versions of the characters of Pinocchio and Geppetto are remarkably similar to Frank's. As Douglas Street commented about the Disney version, 'the chiaroscuro personalities of Pinocchio and Geppetto were washed into excessive blissfulness and kind heartedness'.[182] Disney's puppet is the personification of childhood innocence and trust, who sees good in everyone and who wants to be liked; it is gullibility rather than mischievousness that ensnares him. Disney's Geppetto is happy, warm and loving, never expresses anger or frustration and, like Frank's, wants a son for love and companionship rather than

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[179] Roselle Ross, *Pinocchio, a Story for Children* by Collodi, C., adapted by Roselle Ross. Akron, OH: Saalfield, 1939.
[180] Wunderlich and Morrissey, *Pinocchio*, p. 93.
[181] Wunderlich and Morrissey, *Pinocchio*, p. 95.
[182] Douglas Street (ed.), '*Pinocchio* – From Picaro to Pipsqueak', *Children's Novels and the Movies*. New York: Frederick Ungar, 1983: 47–57, esp. p. 51.

for support. Harmonising the relationship between Geppetto and Pinocchio, between father and son, and Americanising the representation of boyhood were, according to Zipes, key features of the Disney version of the story of the puppet who would be a boy. [183]

The goldfish Cleo was a Disney invention[184] but the remaining characters in the film are modifications of individuals from Collodi's novel, the most striking being the translation of the Talking Cricket into Jiminy Cricket. John Grant considers Jiminy's character a compromise between Disney's general rural trend – epitomised by the early Mickey Mouse – and the then current attraction in the USA to more urban types.[185] At the same time, Jiminy Cricket is full of the home-spun rural wisdom of a Will Rogers. Hardly recognisable as the insect of Collodi's novel - which, incidentally, Pinocchio kills early in the story - Jiminy is more an ingratiating miniature man. Indeed, we only know he is a cricket because he tells us he is. His hat, umbrella and tail-coat invite comparison with Chaplin's tramp; his swagger and self-consciousness have the look of W.C. Fields.[186] In Disney's film, it is Jiminy rather than Pinocchio who becomes the major character: he frames and narrates the story and it is he, along with the Blue Fairy, who explains what Pinocchio has to do to transform himself from a wooden puppet into a real boy. His role as Pinocchio's conscience is discussed in Chapter 4 but here it may be noted that his name is an expletive euphemism for Jesus Christ – an expletive

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[183] Zipes, *Enchanted Screen,* p. 289
[184] According to John Grant, *Encyclopedia of Walt Disney's Animated Characters*. London: Harper & Row, 1987: 1–320, esp. p. 151, the character was based on Bianca, the goldfish in *Mickey's Parrot* 1938; but according to Jonathon Rosenbaum, 'Dream Masters I: Walt Disney', *Film Comment* 1975: 64–69, esp. p. 66, it was based on Betty Boop.
[185] Grant, *Encyclopedia*, p. 151.
[186] Robin Allan, 'The Dark World of *Pinocchio*', *Walt Disney and Europe: European Influences on the Animated Feature Films of Walt Disney*. Bloomington: Indiana University Press, 1999a: 67–90, esp. p. 84.

that was also used (twice) by the Dwarfs in *Snow White and the Seven Dwarfs*. Schickel considered Jiminy Cricket the prototype of characters like Thumper and Flower in *Bambi* and Timothy Mouse in *Dumbo* in that they all act as mentors to the eponymous protagonists.[187] Jiminy Cricket proved a popular Disney character and appeared in *Fun and Fancy Free* (1947) and numerous television shows.

Another important character in Collodi's book who is much altered in the film is the Blue Fairy. Rebecca West points out that in the film the Blue Fairy is a stereotypical feminine figure whose role, although ostensibly central in making Pinocchio come to life, first as a puppet and later as a real boy, is actually quite marginal in terms of her screen time and impact.[188] She is a 'dea ex machina' who enters the film to grant Geppetto his wish that the puppet becomes 'real' and to get Pinocchio out of apparently hopeless fixes, flitting in and out of the film like an inanimate magic wand. Completely antithetical to Collodi's deeply mysterious and manipulative Blue-Haired fairy, Disney's version of the Blue Fairy resembles the angelic-looking film star Jean Harlow, all feminine sweetness and sparkle, a blonde twin of Snow White but with a solid, shapely human presence rather than the ethereal apparition of the novel. Nor does the Blue Fairy function as a mother figure in the film as she does in the novel[189] and she certainly does not look motherly. Her goal is to get Pinocchio to be a good, obedient boy, and back into the warm protection of Geppetto's fatherly space where mothers are simply not needed.

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[187] Schickel, *Disney Version*, p. 234.
[188] Rebecca West, 'The Persistent Puppet: Pinocchio's Afterlife in Twentieth Century Fiction and Film', *Forum Italicum* 40.1 2006: 103–17.
[189] James W. Heisig, 'Pinocchio: Archetype of the Motherless Child', *Children's Literature* 3 1974: 23–35.

A number of thematic features are specific to Disney's treatment of *Pinocchio*. The first is the omission of any reference to the poverty, hunger and deaths that are such striking features of the novel. Geppetto lives in a warm and comfortable house and, far from being too poor to afford a school book for Pinocchio, is a respectable bourgeois manufacturer of clocks and toys. The second is that Disney casts the family as the only warm and cohesive refuge from a hostile and threatening world. Stromboli and the Coachman, abetted by Honest John and Gideon, are involved in frightening and sinister acts of kidnap and slavery; their criminality – which, remarkably, goes unpunished – separates children from their parents forever. As alternatives, Disney offers fanciful hope, explicitly expressed in the words that frame the film: 'If your heart is in your dream,' Jiminy sings at the beginning and end of the film, 'No request is too extreme/ When you wish upon a star/As dreamers do'. An angelic chorus then chimes in to assure us that 'Fate is kind'. The words of this song, together with the notion that it is bravery, truthfulness and unselfishness that bring rewards rather than the more oppositional and questioning approach to society's evils espoused by Collodi's protagonist, set the conservative aspirational register of the film. Third, the film develops an ominous didactic tone, as seen in the change from Collodi's representation of Pleasure Island as a land of childhood wish fulfilment (all play and no school) to a place of appalling debauchery, in which boys roam the streets and smash windows, smoke cigars and drink beer in pool rooms, desecrate art and burn books.[190] In the novel, lack of education and guidance lead to childish play and idleness, whereas for Disney such behaviour is morally corrupting. Finally, Rosenbaum detects in Disney's characterisations

[190] Street, *Pinocchio*, p. 55.

evidence of a 'submerged xenophobia'.[191] The wicked Stromboli is, he avers, a lower class Italian and he notes that all the other puppets in Stromboli's show are foreign, although in fact, it is difficult to be certain what nationality they would have had if they had seemed to be indigenous.[192] In line with mainstream Hollywood's tendency to cast English actors as sophisticated villains (examples in this period include James Mason, George Sanders and Peter Ustinov), Honest John and Gideon are English, and Lampwick, Pinocchio's naughty counterpart, is a vulgar cockney, as is the demonic Coachman.[193] Geppetto is Swiss, German or Austrian, Jiminy Cricket, based on his attire and movements, seems to Rosenbaum a subtle mixture of English and American. The only 'purely' American speaking parts are those of Pinocchio and the Blue Fairy who benevolently watches over him.

In addition to modifications to theme and characterisation, Disney's other major change was to simplify the plot by reducing the numerous episodes in the novel to three, which, as Dundes points out, is of course, the lucky number in many fairy tales.[194] The first episode recounts Pinocchio's servitude in the marionette theatre and escape from Stromboli; the second, his trip to Pleasure Island, semi-transformation into a donkey and escape to the mainland and the third his search for Geppetto and their escape from the whale. At the end,

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[191] Rosenbaum, 'Dream Masters', p. 66.
[192] Honest John refers to Stromboli as 'That old Gypsy'. Several authors have considered the characterisation an anti-Semitic stereotype (Allan *Walt Disney*; Schickel, *Disney Version*; Leslie, *Hollywood*; West, *Persistent*) an accusation that is, however, contested (Grant, *Encyclopedia*). The accusation is arguably based on too facile an assumption about the specificity of stereotypes. What is unambiguous is that characterisation of Stromboli represents 'The Other' as compared with the expectations of 1940s middle American cinema-goers.
[193] However, Lampwick's speech has both an American accent and contains American expressions; the only English feature in Jiminy Cricket is a passing sartorial resemblance to Chaplin's tramp.
[194] Alan Dundes, 'The Number Three in American Culture', *Interpreting Folklore*, Bloomington: Indiana University Press, 1980: 134–59.

Pinocchio is rewarded for saving his father, magically rises from the dead and is safely installed at home. In striking contrast to this spareness of plot, the pictorial elaboration in the film is, as discussed below, immensely detailed and visually stunning. Its extravagance accounts for the view that, while some regard Disney's *Pinocchio* as an adaptational travesty, the film is acknowledged to be a cinematic masterpiece[195] and as much a reference point for film-makers who have subsequently adapted Collodi's novel as is the novel itself.[196]

While *Pinocchio* is not a traditional fairy tale, in that it is not derived from the oral tradition of folktales, the story has a sufficient number of fairy tale features for it to be so regarded (as set out, for example, by several scholars of folklore).[197] It is therefore of interest to discover whether a Proppian approach helps to understand its narrative functions and to assess the extent to which the film contains elements that do not contribute to its narrative flow. Table 2.5 presents the spheres of action and 2.6 a plot segmentation of the film.

Table 2.5 Spheres of action in *Pinocchio*

Villains	=	Stromboli, Lampwick,
Donors/providers	=	Geppetto, The Blue Fairy
Helper(s)	=	Jiminy Cricket, The Blue Fairy, Geppetto
The sought-for person	=	Geppetto
The dispatcher	=	omitted
The hero	=	Pinocchio
False heroes	=	Honest John and Gideon

Following the Introduction to the story, setting and characters, Pinocchio (the hero), his form as a marionette having been completed by Geppetto (a

[195] Lucas, 'Introduction'; Street, *Pinocchio*; Rebecca West, 'Afterword: The Persistent Puppet', in G. Brock (ed.) *The Adventures of Pinocchio*. New York: New York Review of Books, 2009: 163–89; Zipes, 'Toward', p.19.
[196] Zipes, *Enchanted Screen*, p.307
[197] Heisig, 'Pinocchio'; Lucas, *Pinocchio*; Zipes, *Oxford*.

helper), is given the gift of life and set the task of proving himself ‘brave, truthful and unselfish’ by the Blue Fairy (a provider). He is aided by Jiminy Cricket, acting as Pinocchio’s conscience (another helper). Pinocchio leaves home in pursuit of this task but his quest is interrupted by a deception enacted by two villains, Honest John and Gideon, who persuade him to join Stromboli’s theatre; he then becomes imprisoned by Stromboli (another villain). With the aid of Jiminy Cricket and the Blue Fairy, Pinocchio escapes. Deceived again, and by the same villains as before, he is lured to Pleasure Island and almost suffers the fate of the other boys. Pinocchio is partially transformed into a donkey but, aided by Jiminy, he escapes. He learns that Geppetto, at this stage engaged on his second quest to find Pinocchio, has been swallowed by Monstro the Whale (another villain). Pinocchio sets out on his own second quest, this time to find and rescue his father. He becomes imprisoned inside the Whale but engineers his escape therefrom, together with his father, Jiminy, Cleo and Figaro. Finally successful, although apparently at the cost of his own life, Pinocchio is rewarded by being reanimated as a ‘real boy’**.** The narrative of *Pinocchio* therefore displays many of the Proppian moves set out in Table 2.1, such as the hero leaving home, being deceived by villains and being rescued by magic. A difficult task (the rescue of his father) is proposed to the hero and is eventually accomplished. Narrative resolution is deferred three times until Pinocchio’s ‘desire to have something’, in this case, to be a real boy, is magically granted.

Pinocchio is also a narrative of multiple quests. The first is for Pinocchio to complete the task set him by the Blue Fairy, the second for him to rescue Geppetto from his confinement within the Whale. Achievement of both – that is, resolution of each narrative move – is twice delayed by Pinocchio’s being twice

Table 2.6 Plot segmentation of *Pinocchio*

Segment A:	**Introduction to the story, place and characters**	(13' 22")
1.	Opening shot of book: 'One night long time ago…'	
2.	Jiminy (and we) enter Geppetto's house	
Animated toys and clocks, including the marionette that will become Pinocchio		
4.	Geppetto finishes painting and names the marionette	
5.	Pinocchio is introduced to Figaro and Cleo and dances as a marionette	
6.	Mechanical toys and clocks become animated	
7.	Bedtime, the Wishing Star, Geppetto's wish	
8.	Night noises; ticking clocks; Jiminy magically stops the clocks	
Segment B:	**The Blue Fairy gives Pinocchio a gift and sets him a task**	(11'03")
1.	Blue Fairy and the 'Gift of Life'; The Blue Fairy's conditions	
2.	Jiminy becomes Pinocchio's conscience	
3.	Geppetto wakes and Pinocchio tells him about the Blue Fairy	
4.	Geppetto's celebration, Pinocchio burns his finger,	
5.	Back to sleep; in bed together	
Segment C:	**Pinocchio is deceived: his first transgression**	(9'49")
1.	Town wakes up and Pinocchio leaves home for school	
Honest John and Gideon persuade Pinocchio to go with them		
3.	Jiminy chases after them	
Segment D:	**In Stromboli's Theatre**	(3'16")
1.	Pinocchio sings and dances 'There are no strings on me'	
2.	Jiminy leaves in disgust	
Segment E:	Pinocchio is imprisoned but escapes	(10'19")
1.	Geppetto searches for Pinocchio	
2.	Pinocchio is locked in the birdcage	
3.	Arrival of the Blue Fairy; Pinocchio's tells lies and his nose grows	
4.	The Blue Fairy frees Pinocchio; Pinocchio and Jiminy escape	
Segment F:	**Pinocchio is deceived again: his second transgression**	(8'17")
1.	The Coachman plots with Gideon and Honest John	
Pinocchio meets Honest John who diagnoses an 'allergy' (deceives Pinocchio)		
3.	Transportation to and arrival at Pleasure Island	
Segment G:	**Pinocchio is imprisoned again and escapes again**	(9'23")
1.	Jiminy searches for Pinocchio in Pleasure Island	
2.	Pinocchio smokes and plays billiards with Lampwick	
3.	Jiminy sees donkeys being sent to work in the salt mines	
4.	Transformations of Lampwick and Pinocchio	
Jiminy and Pinocchio escape over the mountain and return to Geppetto's house		
Pinocchio discovers that Geppetto has been swallowed by Monstro		
Segment H:	**Rescue of Geppetto**	(16'11")
1.	Pinocchio and Jiminy search underwater for Monstro	
2.	Geppetto's despair	
3.	Monstro swallows fish and Pinocchio; Geppetto and Pinocchio reunited	
Pinocchio starts a fire and they escape on a raft; Monstro chases after them		
5.	Escape through a cave, washed up onto a beach	
Segment I:	**Resolution**	
1.	Pinocchio appears to be dead, on a bier; Geppetto mourning	
2.	The Blue Fairy reanimates Pinocchio 'as a real boy'	
3.	Geppetto restarts the clocks; reprise of celebration at Geppetto's house	
4.	Jiminy gets his badge	
5.	Closing view of Wishing Star	
6.	The End	

deceived by the same two characters, becoming twice detained and by escaping twice. There are also enacted two further quests when Geppetto sets out to look for Pinocchio when the latter is detained by Stromboli and when Geppetto sets off, off-screen, on a skiff to look for Pinocchio when he is detained on Pleasure Island. Both of the latter quests are unsuccessful. *Pinocchio* therefore contains a dual motif, in that father and son both undertake quests, both descend into and both escape from Monstro the Whale. An observation by Perella concerning the novel also illuminates this aspect of the film's narrative: 'The motif of dying to be reborn, of descending to the depths in order to rise spiritually and morally renewed, has been depicted in the Jonah-in-the whale stories of many lands.'[198]

Turning now to elements of the film that do not propel the narrative, there is one complete extra-narrative Segment (D), set in Stromboli's theatre, in which Pinocchio performs his song 'I got no strings to hold me down'. It takes about three minutes of screen time. This episode, a *tour de force* of animation in which Pinocchio dances as a puppet with four different groups of marionettes, is treated like a song and dance number in a pre-Lubitsch musical – that is, as an episode that, being unconnected to the story, requires the narrative to be suspended while it is completed.[199] Although not involving whole segments, similar extra-narrative elements abound elsewhere in the film. An early example is Geppetto's dance with the marionette that he has recently named (Segment A4), reprised after Pinocchio has been granted the gift of life and again after he has been reanimated after the escape from the whale. Another is the vaudeville-like comedy song about Pinocchio's supposed allergy that Honest John diagnoses and whose details Gideon assiduously records, albeit as a scribble on his pad.

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[198] Perella, 'An Essay', p. 23.
[199] Rick Altman, *The American Film Musical*, Bloomington: Indiana University Press, 1987: 1–386.

In addition to multiple extra-narrative sequences, *Pinocchio* famously contains a mise-en-scène of great excess.[200] Indeed its extravagance is part of the appeal the film has for many viewers. Disney developed a horizontal multiplane camera especially for the film. Unlike the vertical one used for *Snow White and the Seven Dwarfs*, it could give the appearance of dollying into and out of scenes more successfully and accommodate backgrounds twice as large - changes which, according to Walt Disney, permitted *Pinocchio* to be shot on the same principles as in a live-action studio.[201] Twelve planes were used for the shot of Geppetto's village at night, a shot which lasts only a few seconds of screen time.[202] In the scene in which Pinocchio is imprisoned in the swinging birdcage in Stromboli's caravan, Grant enumerates six planes, moving both dependently and independently, and all interacting with the beam of light emanating from the Blue Fairy.

Instances of the obsessive detail lavished on the mise-en-scène are numerous. Three may be offered as exemplary: the first is the shot of ten moving clocks on the wall of Geppetto's shop, in the scene in which he makes Pinocchio dance as a marionette. Details of these clocks are then shown in eight separate close-ups, including one of Geppetto's pocket watch. Each clock, moreover, makes its own distinctive sound. The film's rumination on clocks, a Disney invention which is not present in the novel, is discussed in Chapter 4. A second example is one of the establishing shot of Pleasure Island. Again the detail is extraordinary, particularly because the attractions are in constant movement. The third relates to the ocean waves seen in Segment H, the inked cels of which were not painted but photographed over specially prepared blue paper cut to the

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[200] Zipes, *Toward*, p.16, Barrier, *Hollywood*, p.280
[201] Barrier, *Hollywood*, p. 262.
[202] Grant, *Encyclopedia,*p. 146.

shape of waves.[203] Each drawing took hours to complete but, aside from the not inconsiderable aspect of contributing to the viewer's visual pleasure, the only other overt role of these images seems to be to demonstrate the extent of Disney's imagination and mastery of the fully coloured animated film.

The film has a double framing, with Jiminy Cricket singing 'When you wish upon a star' over the opening and closing shots of the film. With the exceptions of Jiminy's retrospective addresses to camera, the crosscutting between Jiminy rushing through Pleasure Island and the boys being transformed into donkeys in Segment G 3 and between Monstro and the escaping party in Segment H 4, the narrative embedded within the frame is uninterrupted and, as in the other films, time is handled in a linear fashion.

The story lasts three days. The cobwebs that appear in Geppetto's house when Jiminy and Pinocchio return from Pleasure Island imply weeks at least have passed but apparently Pinocchio has been away for only one night. The area over which the events take place is uncertain but includes the mainland, Pleasure Island and the surface and depths of the sea. These spaces are completely autonomous, in the sense that they are not mapped out in relation to each other, unlike the various spaces in the other three films. Jiminy's framing song provides a prologue and an epilogue, although during the film his situation changes from his having the enunciating voice that introduces the story to that of a character who, though rewarded, has no further part to play in the story he has guided us through.

There are several optical point-of-view shots, for example Jiminy's first view of Geppetto's house, of his workroom, clocks, musical boxes, toys and his

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[203] Barrier, *Hollywood*, p. 262.

first sight of the marionette, Cleo's sight of Pinocchio's image distorted by her bowl and Geppetto's view of Pinocchio lying drowned on the beach. However, the narrative viewpoint of the film is mainly external. In Segment I2 we do know that Pinocchio has been reanimated by the Blue Fairy and so in this instance we can see more than can the characters in the film. Jiminy Cricket assumes the authorial voice as he speaks directly to the audience and introduces the story in retrospect. Nevertheless, our allegiance is to Pinocchio, the eponymous wide-eyed protagonist: it is he who is the victim of deceptions, imprisonment and transformations and with whose earnest, virtuous and ultimately successful quests the spectator identifies.

A story called *Dumbo, the Flying Elephant,* written by Helen Aberson and Harold Pearl and illustrated by Helen Durney, was published in April 1939.[204] A variation on *The Ugly Duckling* story, it apparently consisted of just twelve to sixteen drawings and a few lines of text. The story and pictures were printed on a scroll that was to be read through a cut-out window shaped like a cinema screen, in the format of a child's novelty book called a 'Roll-A-Book'.[205] Little is known about the authors and this story seems to have been the only one they published.[206] Roll-A-Book Publishers sold the rights to Walt Disney Productions in 1939.

Barrier reports that the earliest book version of *Dumbo* in the Disney Archives is entitled *Dumbo the Flying Elephant.*[207] Aberson and Pearl are listed as authors; there is no mention of Disney but the book was published in 1941 by

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[204] Michael Barrier, *Dumbo Déja Vù*, All Over Again, Web. June 27, 2012.
[205] Michael Barrier, The Mysterious *Dumbo* Roll-A-Book, Web. May 5, 2012.
[206] Web reference – Barrier, *Dumbo*.
[207] Web reference – Barrier, *The Mysterious.*

Whitman, Disney's long time licensee. In this version, Dumbo is a baby elephant who causes an elephant pyramid in the circus to collapse and is consequently banished to work with the clowns. Befriended by a robin, he is taken to an owl psychiatrist named Professor Hoot Owl, who tells him to realise his dream and fly away from the circus. They climb to the top of a cliff from which Dumbo flies. He later surprises everyone when he leaps from a platform in the circus and is able to fly.

The version of the book I have been able to consult was written before the film was made but not published till many years later.[208] It is entitled '*Walt Disney's Dumbo*'. No authors are credited and the book is illustrated by 'The Walt Disney Studio'. This version has fewer incidents than the film and none of its poignancy. It ends with Timothy becoming Dumbo's manager and obtaining 'a wonderful contract [for Dumbo] with a big salary and a pension for his mother', thus rendering the book, as well as the film, vulnerable to Siegfried Kracauer's criticism that the ending propagates a strikingly conservative message.[209] Thus, rather than rebelliously flying off with his mother to an unknown paradise, Dumbo ends up as a highly paid star working for the very people who had so cruelly imprisoned his mother.

As already noted, there are more incidents in the film than in the version of the book to which I have had access. That book opens with a happy Mrs Jumbo accompanied by a baby called Dumbo who was born with very big ears. The poignancy in the film of the late arrival of Jumbo Jnr and the comedy of the

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[208] The book was copyrighted in 1941 and again in 1947 by Disney Enterprises Inc. and by Roll-A-Book Publishers in 1939 but published by Random House in 2004 in the Little Golden Book series. The copyright dates indicate the version of book consulted for the thesis was written before the film was made.
[209] Siegfreid Kracauer, 'Dumbo',*The Nation*, November 8, 1941: 463.

stork that loses its way do not figure in the book, neither do the partially suppressed sneeze that caused Dumbo to acquire those big ears and the humiliation implicit in the new name he was given. The tears, the snobbery of the other elephants and the collapse of the circus tent are also features of the film but not of the book. Mrs Jumbo's incarceration in the prison wagon with the sign warning of a 'Mad Elephant' is, however, present in the book. The realisation, as a consequence of the two friends becoming drunk, that Dumbo must be able to fly is a feature only of the film.[210] The relationship between Timothy and Dumbo has been considered reminiscent of the bond between the quick-witted George and the childlike Lennie in *Of Mice and Men* (Lewis Milestone 1939), a highly successful live-action film released while *Dumbo* was in production.[211]

Characterisation in *Dumbo* depends to a large extent on the vocalisation of the protagonists, including Timothy's Brooklyn accent, which complements his fearlessness and optimism, and the quasi English voices of the gossipy elephants, consonant with their Margaret Dumont-like haughtiness. The impact of these voices is all the greater because Dumbo himself is, of course, mute. In commenting that Dumbo never speaks, John Grant speculates on the kind of voice that he could actually have had.[212] Dumbo's silence harkens back to the performative mime of silent films and is of a piece with other Disney characters such as Dopey in *Snow White and the Seven Dwarfs* and Gideon in *Pinocchio*. Dopey's youth is emphasised by his being the only Dwarf without a beard and Dumbo's lack of speech emphasises his infantilism. Tempting as it might be to explore a psychoanalytic reading of Dumbo's remaining at a preverbal stage (no

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[210] Inebriation was often a justification for the dream sequence used in Hollywood musicals of the time. Altman, *American Film*, pp. 1–386, esp. p. 62.
[211] Michael Wilmington,' Dumbo', in Danny Peary and Gerald Peary (eds) *The American Animated Cartoon: A Critical Anthology*. New York: E.P. Dutton, 1980: 77–81.
[212] Grant, *Encyclopedia*, p. 172.

father, no Oedipal crisis, therefore no entry into the world of the Symbolic), we cannot know whether it is language or speech that he lacks. Moreover, in addition to resisting the temptation to psychoanalyse a character on the screen, we might also note that his mother speaks but two words in the whole film.[213] The most striking – and controversial – vocal characterisation is that of the Crows, whose voices, movements and mannerisms are explicit parodies of proletarian African Americans. Whether the parodies are racist continues to be debated but the Crows do function in the film as sympathetic and decisive helpers whose intervention rescues Dumbo from rejection and alienation and permits him to fulfil his 'American dream'.[214] Within the Disney canon, the Crows provide the means for Dumbo to achieve a triumph greater than those of the protagonists in such Disney productions as *The Ugly Duckling* (Wilfred Jackson 1931) or *Lambert, the Sheepish Lion* (Jack Hannah 1952), because in those films the protagonists only *appear* to be disadvantaged.[215]

In Proppian terms, the overarching narrative trajectory of *Dumbo* is one of lack, followed by struggle, followed by triumph. The repeated losses that constitute the lack primarily concern Dumbo himself although they are also apparent in his mother's story. Although the characters in *Dumbo* inhabit the spheres of influence

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[213] 'Jumbo Junior', Mrs Jumbo answers in response to the Stork's request for a name for the baby he has just delivered.

[214] The issue of racist stereotyping is discussed in all the major Disney texts and, with the exception of Schickel, *Disney Version*, p, 225; and Smoodin, *Animating* p. 109, surprisingly, they conclude merely that this representation of the 'blackface' performed in contemporary music hall and vaudeville was not *intended* to be demeaning (Barrier, *Dumbo Déja Vù* (my emphasis). A more nuanced discussion of class and race, contained in an essay by Nicholas Sammond, is discussed in Chapter 6 of the thesis. Nicholas Sammond, 'Dumbo, Disney, and Difference: Walt Disney Productions and Film as Children's Literature', in Julia L. Mickenberg and Lynne Vallone (eds), *The Oxford Handbook of Children's Literature*, Oxford: Oxford University Press, 2011: 147–66.

[215] Grant, *Encyclopedia*, p. 173

Table 2.7 Spheres of Action in *Dumbo*

Villains elephants	=	The Ringmaster, the clowns, the gossiping
Donor/providers	=	The Crows
Helpers	=	Timothy Mouse, The Crows
The sought-for person	=	Mrs Jumbo
The dispatcher	=	omitted
The Hero	=	Dumbo
The false hero	=	omitted

Propp describes (Table 2.7) (for example, villains (the Ringmaster, the clowns, the naughty boys), helpers (Timothy, the Crows) and a provider (the Crows)) the narrative moves do not replicate the Proppian order and sequence. As pointed out by Michael Wilmington and described below, the most striking features of the film's narrative structure are its multiple inversions and reverses (see Table 2.8).[216]

Arriving later than the progeny of the other circus mothers (Segment A, Table 2.8), Jumbo Jnr is delivered into a family without a father or, indeed, siblings. Through no fault of his own, he develops enormous ears that are so disfiguring that he is shunned by the other elephants. In scornfully calling him Dumbo, the elephants inflict further loss by substituting a term for stupidity for his given name. Dumbo's mother's attempt to protect him from the naughty boys develops into a riot that results in her being incarcerated and his being abandoned. Dumbo's ears are so large that, in his first circus parade, he trips over them and falls into the mud. In his debut circus performance, they cause him to stumble and plummet into the ball upon which is balanced the elephant pyramid that he is supposed to crown. The pyramid collapses and the tumbling elephants bring down the circus tent, bringing about the collapse of Dumbo's world and of his life as a performing circus elephant. Dumbo is condemned to

[216] Wilmington, *Dumbo*.

Table 2.8 Plot segmentation of *Dumbo*

Segment A.	**Introduction to the story, place and characters**	(4' 49")
1.	Prologue: Dark and stormy night	
2.	Portentous voice-over; storks flying over map of Florida	
3.	Delivery of babies to circus animals in their winter quarters	
4.	Mrs Jumbo's disappointment: her stork has lost his way	
5.	Circus awakens and is loaded onto the train, Casey Jnr departs	(Day 1**)**
6.	Messenger Stork delivers Jumbo Jnr to Mrs Jumbo on the train	
7.	Jumbo Jnr sneezes and develops huge ears	
8.	Mrs Jumbo strikes the other elephants who are deriding Jumbo Jnr	
9.	Other elephants name him Dumbo; she cuddles him protectively	
Segment B:	**Dumbo's first days at the circus**	(19' 07")
1.	Circus travels by train, unloads, the circus tent is erected in the rain	
2.	Parade through the town	(Day 2)
3.	Dumbo bathed by Mrs Jumbo	
4.	Children tease Dumbo; Mother's fury and her incarceration as a 'Mad Mother'	
5.	Timothy Mouse appears, offers sympathy, scares the other elephants	
6.	Timothy advises the Ringmaster (the voice of 'the subconscious')	
Segment C:	**The circus opens**	(10'14")
1.	Dumbo causes collapse of the elephant pyramid	(Day 3)
2.	The elephants gossip and declare Dumbo a 'non-elephant'	
3.	Dumbo as a clown; has to jump from a 'burning' building	(Day 4)
4.	The clowns discuss the show (in silhouette) and start to drink	
Segment D.	**Dumbo and Timothy together; Dumbo learns to fly**	(21' 05")
1.	Timothy takes Dumbo to visit Mrs Jumbo	
2.	The clown's party; they spill champagne into a water bucket	
3.	Dumbo drinks the water spiked with alcohol, Timothy falls into it and they both get drunk	
4.	Dumbo and Timothy's drunken dream: *Pink Elephants on Parade*	
5.	Timothy and Dumbo wake up in a tree	
6.	The Crows deride the idea that an elephant can fly. Timothy's speech	
7.	The Crows give Dumbo a 'magic' feather	
8	Dumbo practises flying with the Crows	(Day 5)
Segment E.	**Resolution: Dumbo reunited with his mother**	(4' 68")
1.	Dumbo back in the clown's act: his featherless flight	
2.	Dumbo's fame and success; reunited with mother	(Day 6)
3.	The End	

work as a clown, suffering further humiliation by being forced to jump from an apparently burning building, during which one of the clowns adds the sadistic touch of imitating his mother.

The most distressing event in this extraordinary catalogue of loss and humiliation is the wrenching of Dumbo away from his mother (Segment B4). It is while Dumbo is in tears after this event that Timothy Mouse appears as his Helper. Although the first job he obtains for Dumbo is not a success, Timothy is

not discouraged (he never is) and, as consolation, he takes Dumbo on a visit to his imprisoned mother. Their attachment is movingly reprised in an extra-narrative sequence in which her trunk snakes through the window bars to cradle him; the emotional impact of the image is amplified by images of the other young animals with their loving families and by the extradiegetic lullaby, 'Baby Mine'. After this affecting sequence, the story moves from the repeated humiliations and disasters towards a resolution of Dumbo's lack.

After Dumbo and Timothy leave Mrs Jumbo, they drink water spiked with alcohol and there follows the musical dream of 'The Pink Elephants on Parade', an extra-narrative sequence that lasts a full five minutes of screen time (Segment D4). It is succeeded by the appearance of more helpers for Dumbo in the form of the Crows. They conclude that, since Dumbo has woken up in a tree, he must have been able to fly. They debate it in a comic song ('When I See an Elephant Fly'), a musical number which, in contrast to the lullaby sung during Dumbo's visit to his imprisoned mother, does propel the narrative towards its resolution. The Crows, now in their second functional role as donors, give Dumbo a supposedly magic feather to help him fly. Dumbo then becomes an über-elephant, a nationally celebrated hero, one who because of his large ears is uniquely able to fly. His future in the circus is secured by his manager, Timothy Q. Mouse, and he is rewarded with his own railway carriage in the circus train. Reunited with his mother, the triumph of Dumbo the Flying Elephant is complete.

As noted above, the film's narrative trajectory features several plot inversions. The first occurs as the film opens with the storks flying grimly in a storm at night, mirrored as the film closes by Dumbo and the Crows flying triumphantly in good weather during the day. The humiliation of Dumbo's toppling the elephants' pyramid and spilling them in all directions contrasts with his

triumph as he flies away at the end of the film. The episode of the collapse of the circus tent inverts the story of its erection; the reunion of Dumbo and his mother in the film's closing scene inverts the severing of their ties caused by his mother's incarceration. The size of the diminutive Timothy Mouse contrasts with that of the huge elephants, as does his indomitable courage with their panic when they first catch sight of him.

One of the implications of the story of *Dumbo* is that there is no pill which, with fortitude and friendship, cannot be sweetened. The film's narrative of adversity overcome by personal effort and the support of good friends seems to be is of a piece with 'the luck, pluck, and virtue' of the uplifting mid nineteenth-century American tales of Horatio Alger (the point is discussed further in Chapter 6). The impact of this populist message is enhanced by the way its story is plotted within the emotive forces of separation from his mother, humiliation by peers and reconciliation through friendship. With the sympathetic and cohesive actions of Timothy and the Crows, Dumbo's lack is repaired and a jubilant closure is achieved.

The simplicity of the narrative is reflected in the formal structure of the film, which is, to a large extent, presented as a series of cinematic attractions, which is to say, as extra-narrative visual exhibits, similar to vaudeville numbers. Such 'stand-alone' attractions often featured in Hollywood musicals.[217] The most striking example in *Dumbo* is 'The Dance of the Pink Elephants', an episode of spectacle and virtuoso animation whose content has little to do with the film's narrative but whose imaginative transformations leave few spectators

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[217] Tom Gunning, 'The Cinema of Attractions: Early Film, its Spectator and the Avant-Garde', in Thomas Elsaesser and Adam Barker (eds) *Early Cinema*. *Space, Frame, Narrative*. London: British Film Institute, 1990: 56–62.

unimpressed. The film contains several other ‘attractions’ (for example, Messenger Stork’s comic ‘business’ in the clouds and the clowns’ and the elephants’ performances in the circus ring) which are foreshadowed in the very way the film is introduced, its production credits being displayed as a series of circus banners.

Dumbo’s narrative has a double-ended frame that involves flying - the storks at the beginning, Dumbo and the Crows at the end. The film opens with a prologue that provides the spectator with information about where the story is taking place through the device of showing the storks flying over a map of Florida. During the prologue, a portentous ‘voice of God’ satirises contemporary documentaries about the heroism of those who serve in the American postal service.

There are numerous optical point-of-view shots, references to several of which are made in Chapter 5. While Timothy addresses the audience in Segment B5, thereafter direct address is eschewed and the narrative viewpoint remains external. As in *Pinocchio*, the spectator’s allegiance is shared between the eponymous protagonist and his mentor. Sympathies are marshalled towards Dumbo by the numerous low angle shots (which give the viewer a child’s perspective) and several optical point-of-view shots. Several segments of the film, again enumerated in Chapter 5, are separated by narrative ellipses and screen time is expanded on two occasions (the collapse of the elephant pyramid and Dumbo’s final jump, immediately before his taking flight in the circus). The duration of the story (assuming the circus performances take place in the evening) is six days, as indicated in the segmentation analysis shown in Table 2.8. The story is set in a contemporary American circus, which we see being

transported by train around the State of Florida. The songs are both diegetic (for example, 'When I See an Elephant Fly'*)* and non-diegetic ('Baby Mine').

Bambi was based on the novel *Bambi***:** *A Life in the Woods* by the Austrian author Felix Salten (Siegmund Salzmann, 1869–1945). Salten was born in Budapest and lived in Vienna for most of his life but fled to Zurich in the year before the outbreak of World War II in Europe. His books (including *Bambi: A Life in the Woods*) were burned by the Nazis in 1936. Salten was an influential theatre critic, a founder member of the avant-garde 'Young Vienna' group of artists, writers and intellectuals, who subsequently became President of the Austrian PEN Club. He published numerous books, including several novels, three of which were filmed by Disney.[218] *Bambi*: *A Life in the Woods* was published in Vienna in 1923 and in the United States in 1928.[219]

The idea for the book had come to Salten while on holiday in the Alps after being charmed by the wildlife there.[220] He based the name, Bambi, on the Italian word 'bambino', meaning baby. Salten's book recognised that starvation can kill and that predators occur in the wild.[221] Thus, on his very first walk, Bambi sees a ferret kill a mouse. Later he sees crows attack and kill a sick hare, a squirrel that, having escaped a ferret, runs about in the snow with a wound in its neck and eventually drops dead and is eaten by magpies and a wounded fox that

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[218] The other two were the live-action films *Perri* (Paul Kenworthy, Ralph Wright 1957), based on *Perri: the Youth of a Squirrel* and *The Shaggy Dog* (Charles Barten 1959), based on *The Hound of Florence*.
[219] The translation was by Whittaker Chambers, a former member of the American Communist party, best known as the star witness in the 1949 and 1950 cases against Alger Hiss that brought Richard Nixon to national prominence (Sam Tanenhaus, *Whitaker Chambers: A Biography*. New York: Random House, 1997: 1–638.)
[220] Ralph. H. Lutts, 'The Trouble with Bambi: Walt Disney's *Bambi* and the American Vision of Nature', *Forest and Conservation History* 36 1992: 160–71.
[221] Felix Salten, 1928, *Bambi*. Leicester: Brockhampton Press, 1967: 1–222.

develops an infection and lingers suffering for days – a succession of gruesome events true to a nature 'red in tooth and claw'.

The wounds inflicted by nature in *Bambi: A Life in the Woods* are, however, as nothing compared with the terrors inflicted by Man (sic). Thus a buck is shot dead by a concealed hunter, another (Ronno) has his leg smashed by a hunter's bullet, Bambi is shot in the shoulder and his mother and several other animals are killed in an autumn game hunt. Bambi initially trusts Man but is betrayed when a hunter imitates Faline's voice in an attempt to lure Bambi into gunshot range. Salten's is clearly a dark tale but one that, after allowing for its anthropomorphism (Bambi and other fauna and flora think and speak), is biologically plausible. The fire which forms the climax of the film does not take place in the book.

The novel was originally written for adults although in the United States it was read mainly by children.[222] Salten sold the film rights to the Metro-Goldwyn-Mayer (MGM) producer, director and actor Sidney Franklin in 1933. Two years later, Franklin sold them to Disney, having decided that the lack of a continuous narrative and the difficulty of finding convincing voices for the characters made the story unfilmable in live action. [223] Disney dedicated his film to Franklin 'in sincere appreciation for his inspiring collaboration'.

Disney's film locates the story in an American forest which, in contrast to the imagery of the forests of European folktales, with their unspoken intimations of risk and danger (getting lost, being attacked by wolves etc.), is imbued with a

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[222] Ruth H. Viguers, The World Around Us', in Cornelia Meigs et al. (eds) *A Critical History of Children's Literature: A Survey of Children's Books in English*, revised edn. New York: The Macmillan Company, 1969: 616–32.
[223] Johnston and Thomas, *Walt Disney's*, pp. 1–208, esp. p.106.

kind of joyful and lyrical delight that suggests a prelapsarian Eden. The imagery in the film evokes Ansel Adams' iconic photographs of the waterfalls and rocky promontories of Yosemite Valley in Northern California.[224] Disney changed Bambi's species from the European roe to the American white-tailed deer and populated the forest with characteristically North American fauna, such as chipmunks, skunks and racoons. Nature's predatory activities were expunged. Thus Friend Owl, the closest to a predator we meet in the film but whose very name undermines the designation, seems to live on a diet free of animal prey. In addition, images such as that of the opossum whose children hang by their tails from her tail as she finds safety after the fire and Bambi's rutting in the spring rather than the autumn, provide an account of nature that is scarcely to be regarded as accurate. Such images, the depictions of Thumper, Flower and Friend Owl – all Disney creations – together with the elimination of natural predators and prey, have given rise to the accusation that *Bambi* is a film that cautions children against hunting and carelessness while camping but which misleads them about the actualities of nature. [225]

The screenplay considerably lightened the tone of the book but the film's depiction of the evils of hunting (in addition to Bambi's mother, a pheasant is shot dead and Bambi himself is wounded by a bullet as he escapes the fire caused by the hunters' carelessness) incurred fierce and continuing objections from the National Rifle Association. [226]

In summary, the major features of Disney's adaptation are arguably the depiction of a sentimental and inaccurate account of nature, together with

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[224] Whitley, *The Idea*, pp. 1–154, esp. p. 65.
[225] Lutts, *Trouble,* p. 167
[226] Matt Cartmill, 'The Bambi Syndrome', *A View to a Death in the Morning: Hunting and Nature through History*. London: Harvard University Press, 1993: 161–88), esp. p. 161.

pedagogical messages concerning the evils of hunting and the cause and nature of forest fires. As discussed in Chapter 6, the first and last of these features may be considered to be in line with a politically conservative view of US culture and history. In relocating the story away from Europe, Disney Americanised the flora and fauna. The atmosphere of life in the wild changed from the dark and foreboding sense of a European forest to the more celebratory vision of an American wilderness. The effect of any political subtext is, moreover, intensified by its association with the story's dramatic events, of which the death of Bambi's mother and the climactic forest fire are the most striking examples.

Work began on adapting Salten's book in December 1936 but Walt Disney did not attend a story meeting until eighteen months later.[227] According to Neal Gabler, it took years 'to lick the narrative problem of shaping a [linear] plot out of a [recurring] life cycle'. It was Walt Disney himself who insisted the film play up the animals' dread of Man and play down the natural hardships they faced and it was he who decided that the death of Bambi's mother would not be shown on-screen. [228]

There are three main strands to the narrative (Table 2.10). The overarching one is provided by the seasonal cycle of nature, which opens with Bambi's birth and closes with that of his children. The reproductive cycle that incorporates the meeting, courtship and establishment of Bambi's own family runs in parallel with that of the seasons. The story's Oedipal trajectory is emphasised in the film's closing sequence, first with the demonstration that, in contrast to his father's siring a singleton faun, Bambi has fathered twins and, second, by the Great Prince ceding to Bambi his position on the promontory from

[227] Gabler, *Walt Disney,* p. 136.
[228] Gabler, *Walt Disney*, p. 336.

which they had together observed Faline showing her new-born fauns to the admiring forest animals. Within these two narrative cycles, we witness the unfolding of the third strand, the series of challenges Bambi must overcome as he matures into adult life. As well as learning the basic lessons of (human) childhood (the acquisition of language, such as speaking and naming and of motor skills, such as walking, running and skating), there are the challenges of survival in winter, of the loss of his mother, of the competition for Faline and, climactically, of the forest fire. This *Bildungsroman*, which concludes with Bambi ascending a *de facto* throne and so replicating the social order that initiates the film, contains, in Proppian terms, villains (the hunters, Ronno), helpers (Bambi's mother and father, Thumper), a sought–for person (Faline) and a hero (Bambi) (Table 2.11). Thumper's role as Bambi's 'guide to the forest' is reminiscent of those of Jiminy Cricket in *Pinocchio* and of Timothy Mouse in *Dumbo*.

Table 2.9 Spheres of Action in *Bambi*

Villains	=	The hunters, Ronno
Provider	=	Bambi's mother
Helpers	=	The Great Prince, Bambi's mother, Thumper
The sought-for person	=	Faline
The dispatcher	=	omitted
The hero	=	Bambi
False Hero	=	omitted

The first segment of Bambi (Table 2.10, Segment A), which provides an introduction to the story's place and characters, is followed by Bambi's learning to walk and talk as he moves along the pathway through the forest. The walk is curtailed by April showers, which make explicit our knowledge of the season of his birth and first experiences. A series of lessons follows as Bambi is taken by his mother from the safety of the forest to the more open but dangerous meadow. The narrative, based initially on the space within which the story unfolds, now

emphasises the seasonal cycle and includes the hunger of winter, the new grass of early spring to which Bambi's mother takes him and her death at the hands of the hunters. Bambi's survival, maturation and courting of Faline are depicted in sumptuous and elaborate detail in the longest segment of the film (E, fourteen and a half minutes), which ends with Bambi's triumph over Ronno for Faline's affection**.**

Table 2.10 Plot segmentation of *Bambi*

Segment A:	**Introduction to story, place and characters**	(6'48")
1.	Establishing shot of forest, picks up Friend Owl and other animals	
2.	'The new Prince is born'. Tableau of mother and child. Bambi's father appears	
Segment B:	The forest	(10'41")
1.	Bambi learns to walk and talk and meets new friends	
2.	April showers; Bambi and mother return to thicket	
Segment C:	**The meadow**	(13'47")
1.	Bambi learns about the danger of the exposed meadow; meets Faline	
2.	Bambi sees the 'Great Prince of the Forest' and is acknowledge by him	
3.	'Man is in the forest', Bambi separated from his mother and rescued by the Great Prince. Shots from hunters are heard	
Segment D:	**Winter**	(11'13")
1.	Autumn leaves	
2.	Winter snow	
3.	Playing on the ice with Thumper	
4.	Lack of food; Bambi's hunger	
5.	Death of Bambi's mother. Bambi follows his father	
Segment E:	**Spring**	(14'30")
1.	Bambi polishes his new antlers on Friend Owl's tree	
2.	Flower and Thumper meet mates; Bambi meets Faline at the pond	
3.	Friend Owl explains 'twitterpation'	
4.	Bambi fights Ronno over Faline	
5.	Bambi and Faline walk and dance into the forest	
Segment F:	**Danger in the forest**	(9'32")
1.	Bambi sees the hunters' camp: 'Man is here again'	
2.	Retreat into the forest; Bambi and Faline separated	
3.	Pheasants terrified: one is shot by hunters	
4.	Faline attacked by hunters' dogs and saved by Bambi	
5.	Bambi wounded by a hunter's shot	
6.	The forest on fire; Bambi's escape with his father	
7.	Bambi and Faline reunited	
Segment G:	**Resolution**	(2'32")
1.	Spring again	
2.	Announcement of a new birth (of twins)	
3.	The Great Prince leaves the stage to Bambi	
4.	The end	

The climax of the film, the result of Man's return to the forest on yet another hunting spree, includes the shooting to death of a terrified pheasant and the wounding of Bambi, the pursuit of Faline by the hunters' dogs and her rescue by Bambi and Bambi's escape from the fire with his father. The film ends, as it begins, in the spring, with a new birth and with the ascendancy of Bambi as patriarch over his family and the other animals of the forest.

The structure of the film also emphasises the existence of safe and dangerous spaces by contrasting the hazards of the open and exposed meadow and the refuge offered in the depths of the forest. The spectator experiences increasing anxiety as the borders of these spaces are transgressed by Man, as animals are killed and as nature herself is consumed by the elemental force of a fire unleashed by the invasion of previously safe spaces by ferocious and alien Man. The film thus stages the story of the exigencies of Bambi's life across space as well as across time. Closure, which also signals a new beginning, is provided by the continuation of the cycle of life, Bambi's through the appearance of his new family and nature's through the renewal of the forest after the fire. Narratively, the pivotal moves are the death of Bambi's mother, which marks the end of childhood and Bambi's move into adulthood, and the forest fire. It is his escape from the fire, together with the birth of the twin fauns, which marks Bambi's assumption of his father's role as the Great Prince of the Forest.

The film is doubly framed by the announcements to the forest animals of the arrival of new-born fauns. A second double-ended frame is provided by the opening and closing images of the mother deer with their new-born fauns, nestled within a thicket as in a tableau of a Madonna and Child.[229] A third double-ended

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[229] Cartmill, Bambi Syndrome, p. 174.

frame is provided by the extradiegetic rendering of 'Love is a song that never ends'. The words 'love's beautiful music comes each day like the dawn…' are sung in a light baritone solo voice which gives way to a choir for the words '…One simple theme repeating, like the voice of a heavenly choir…'. The triple framing provides the spectator with a firm sense of rightful closure, a beginning and an end projected in word and performance as both natural and God-given.

There are numerous point-of-view shots, some of which are discussed in Chapter 6, although the film's narrative viewpoint is generally external. In *Bambi*, as in *Snow White and the Seven Dwarfs* but in contrast to *Pinocchio* and *Dumbo*, the authorial voice is entirely effaced, consistent with the notion that the film enacts an archaic folk story from distant, in this case, Edenic times.[230] Time is handled in a linear way although several segments of the film, enumerated in Chapter 6, are separated by narrative ellipses. In Segment D 5, we know that Bambi's mother has been killed before Bambi learns she is dead. Our knowing more than Bambi deepens our distress because we are powerless to prevent the catastrophe (see Chapter 5 for further discussion of the topic of the spectator's inability to prevent a predictable disaster). The story of *Bambi* takes place over two years. Speech, of which there are but a thousand words and of which only two hundred are spoken by the film's protagonist,[231] is always direct.

As we have seen*, Snow White and the Seven Dwarfs* and *Pinocchio* are based on fairy tales, the first a short story from the canon of the Grimms' folk tales, the second a serial written for an Italian nineteenth-century children's magazine.

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[230] Whitley, *The Idea*, p. 61.
[231] Lutts, *Trouble*, p.169.

Disney's adaptations of these stories to make full length feature films required the former to be expanded and the latter compressed. The lack of fidelity of the films to the original stories, pointed out in much of the literature critical of the Disney versions of these and other fairy tales, is not really relevant because of the multiple versions in which such stories traditionally come down to us.

Over the years, Disney has adapted a large number of fairy stories, both for shorts and for feature films, because their dual address to children and adults makes them ideal vehicles for Hollywood family films. Though not based on fairy tales, the films of *Bambi* and *Dumbo* embody that dual address too, the former based as it is upon a *Bildungsroman*, the latter through the charm of its story of overcoming personal disadvantage and its element of rags-to-riches fantasy. The fairy tale origin of the first two films makes them instantly recognisable – indeed, there must be few cinema-goers who do not know the story of *Snow White*. The *Adventures of Pinocchio* has been a staple of Italy's children's literature since it was written and the story has been adopted and adapted around the world.

The overall adaptational strategy of the Disney fairy tale *oeuvre* has been the amelioration of any hard-to-take unpleasantness in the original story, for example, the softening of the facts of forest life in *Bambi*, together with the Americanisation of any non-American stories and the embrace of conservative ideals and the patriarchy of the pre-feminist United States of America. The acceptability in these films of the latter is perhaps in parallel with the patriarchal nature of fairy tales in general. One might also speculate that, for many cinema-goers, the presence in *Bambi* and *Dumbo* of some of the familiar features of fairy tales enhances the recognisability of these films.

Narrative analysis reveals that the four films embody a range of types and genres – narratives of quest (*Pinocchio*), of romance (*Snow White and the Seven Dwarfs*), of personal development (*Bambi*) and of triumph over adversity (*Dumbo*). The analyses also help to distinguish their narrative from their non-narrative components. Since fairy tales are more concerned with actions than emotions, it is the non-narrative elements inserted into the films that particularly reward interpretation. The four films share a number of formal devices, the most striking of which is the multiple double-ended frames within which the stories unfold. This device provides a formal closure to match that of the narrative content and serves to reassert the borders between the film world and the real world. Disney's frequent use of frames, both in the narrative, as referred to above, and within the mise-en-scéne, invites us to consider how the spectator engages with these filmic devices. In the chapters which follow, I argue that these filmic frames, the borders that make up the frames and the way the borders are traversed represent, in psychical terms, potential spaces (as defined by Winnicott) and that they play an important role in the way spectator engages with the films. It is the accounts of *Snow White and the Seven Dwarfs,* of *Pinocchio* and *Bambi* that particularly reward such an approach. I also argue that it is the 'temporal space' provided by the interruptions to the narratives, the space created by the extra-narrative components of each of the films, that provide room for a psychoanalytical interpretation of the content of the films and of the responses the spectator makes to them.

Chapter 3 The Mirror of Envy: *Snow White and the Seven Dwarfs*

In this chapter, I argue that Disney's animated version of the Snow White story engages the spectator in a cluster of unconscious psychic fantasies and associated defence mechanisms that pertain to persecutory anxieties, which themselves are related to the threat of ego annihilation, as theorised in the work of the post-Freudian psychoanalysts Melanie Klein and Jacques Lacan. I argue that the mise-en-scène of mirrors and framing mechanisms, together with the prolonged extra-narrative scenes that represent compulsive cleaning and washing, cumulatively evoke, and at the same time contain, primitive anxieties related to contamination by germs, psychic fragmentation and death.

There is a substantial interpretative literature on the Grimms' version of *Snow White* to which, however, I refer only fleetingly since my argument is focused on Disney's reworking of the story. It is, nonetheless, important to note that scholars of folklore with a psychoanalytic perspective frequently stress competition between the Queen and Snow White for the king's affection as the key feature of the fairy tale. This position was, for example, argued vigorously by Bruno Bettelheim, whose chapter on the Grimms' version of Snow White in his celebrated book, *The Uses of Enchantment*, is entitled *The Jealous Queen in Snow White and the Myth of Oedipus*.[232] For the folklorist Jack Zipes, however, writing in *The Enchanted Screen*, his encyclopaedic monograph on the history of fairy-tale films, 'what remains dominant in almost all oral and written versions is the power of the mirror, and … the relationship of the Queen to the mirror that

[232] Bettelheim, *The Uses*, pp. 194–214.

orchestrates her life'.[233] Drawing attention to the fact that the genie in the mirror is male, Zipes goes on to say that the Queen 'becomes trapped in the spectacle of male illusions. Her identity and value as a woman are in large part determined by the refraction of the mirror [which is] why the crucial relationship in all the tales and cinematic versions is that between the Queen and the mirror, not between the Queen and Snow White'. Zipes' focus here is on the patriarchal features of the Snow White story and on how the Queen, and by implication, the spectator of the many different film versions of the story, accepts without question the mirror's authority to determine what constitutes beauty and so, again by implication, what constitutes virtue. I have no wish to challenge the force of Zipes' political interpretation that the genie in the Queen's magic mirror represents society's dominant values of patriarchy, which the Queen (and the spectator of the film), interpellated as she (and the spectator) is into that very society, is unable to perceive, let alone question and resist. One can, however, add to Zipes' political focus a psychoanalytic proposal that brings to light early primitive unconscious processes related to ego development, as theorised by Jacques Lacan in his study of the mirror stage of development.[234]

As noted in Chapter 1, according to Lacan, what the baby first sees in the mirror (a coherent, happy and beautiful image) is radically contradicted by an inner sense of fragmentation and/or disintegration and incoherence. In *Snow White and the Seven Dwarfs*, it is the conflict contained in the Queen's simultaneous desire to be the most beautiful in the land and the contradictory reply of the genie in the mirror ─ 'there is one more fair than thee' – that provokes a serious fragmentation of the Queen's subjectivity and sets the story in

[233] Zipes, *Enchanted*, p.116.
[234] Lacan, *Mirror Stage*.

motion. The conflict is catastrophic for the Queen, as is made clear by her sudden and striking mutation from a beautiful woman into an ugly witch – as a direct response to the genie's words. The proposal here is that the film's depiction of this striking transformation evokes fear and horror in the spectator and in so doing taps into the spectator's unconscious recognition of (or re-encounter with) the duality or split at the very heart of our sense of ourselves, as that notion is theorised by Lacan. The conflict that the Queen faces in her encounter with the mirror, her catastrophic transformation into her opposite (from a beautiful, vital and coherent reflection to an ugly, deathly and disturbing one) resonates with the structural misrecognition that Lacan contends defines the ego. The horror that results from the Queen's encounter with her reflection in the magic mirror thus is not solely related to the plot (in its signalling of the Queen's impending wrath and envious fury at her stepdaughter) but also brings the spectator into contact with the disturbingly fractured foundations of his/her own subjectivity.

The above proposal concerning the interaction between the Queen and the magic mirror provides one model of early psychic processes but at the same time, the spectator's identifications also attach to Snow White's fear of a persecutory sadistic envious attack, as theorised in the work of Melanie Klein.[235] Accordingly, the spectator's identifications are then seen to run concomitantly with and between both mother and daughter, in a manner that parallels Freud's description of the dreamer as occupying all of the positions represented in the dream.[236] From a psychoanalytic perspective, the proposal is that spectatorial

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[235] Klein, *Envy*

[236] In relation to the protagonists of dreams, Freud wrote: 'It has been my experience (and I have found no exception to this: that every dream deals with the person of the dreamer. Dreams are wholly egotistical. Where in the content of a particular dream it is not my 'I'

identifications can encompass paradoxical positions simultaneously, so the spectator relates to a constellation of fantasies, not a single position, notwithstanding the use of cinematic mechanisms (for example, point–of-view shots) that may solicit particular identifications. In *Snow White and the Seven Dwarfs*, therefore, at an unconscious level, the spectator is invited to identify with the positions of both the Queen and Snow White, so allowing for the mobilisation of two major constellations of psychic process and fantasy. First, the primitive fantasies evoked by the Queen's encounter with the mirror are evoked (regarding misrecognition and the fragmented ego of Lacan's mirror stage) and second, the structure of persecutory envy and the concomitant murderous intergenerational phantasies and anxieties (belonging to Klein's model of primitive psychic development) play out between the Queen and Snow White.

Snow White and the Seven Dwarfs had its premiere at the Carthay Circle Theatre in Hollywood on 21 December 1937. The film was enthusiastically received by cinema-goers and critics, becoming the world's best-selling film of 1938 and earning an all-time record of $8 million by 1940; in 1979 it was ranked number 18 in a compilation of All-Time Box Office Hits[237] – the only animated film to feature in the list – and by 1993, adjusting for inflation, it had grossed nearly $1billion in

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that appears but simply a stranger, I can confidently assume that my 'I' is hidden behind that person as a result of identification.' (Sigmund Freud, 1899, *Interpreting Dreams* edited by John Forrester. London: Penguin Books, 2006: 1–657.) The point is also made in relation to fantasy in, Sigmund Freud, 1919, 'A Child is Being Beaten: Contributions to the Understanding of the Origin of Sexual Perversions', in Jeri Johnson (ed.) *The Psychology of Love*, London: Penguin Books, 2006, 279–306.

[237] David Pirie (ed.) 'The Product: Anatomy of the Movies All-Time Hit List', *The Anatomy of the Movies*, London: WHS Distributers, 1981: 204–5.

worldwide box-office revenue.[238] The film was awarded the Special Biennale Art Trophy at the 1938 Venice Film Festival and the New York Film Critics Award in 1939. Its musical score was nominated for an Oscar in 1938 and the following year the Motion Picture Academy gave Walt Disney an Honorary Award, in recognition of *Snow White and the Seven Dwarfs* 'as a significant screen innovation which has charmed millions and pioneered a great new entertainment field.[239] Shirley Temple presented Walt Disney with one statuette and seven miniatures.

The film had six international theatrical releases over the next fifty years. A 'fully restored' video version appeared in 1994, a digitally remastered DVD in 2001 and a Blu-Ray disk in 2009, the last two being packaged with about three hours' worth of supplementary material. More than seventy years after its first release, the Disney corporation reported that *Snow White and the Seven Dwarfs* was ninth in the industry rankings of Disney Home Entertainment's all-time best sellers and sixth in the ranking of animated films.[240] In 2008, the American Film Institute ranked *Snow White and the Seven Dwarfs* first in its list of the ten best American animated films.[241]

Walt Disney had famously introduced his staff to his concept of the film in 1934 with a four-hour solo recitation of *Snow White and the Seven Dwarfs*.[242] Three specific sets of problems immediately presented themselves. The first was

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[238] Richard Hollis and Brian Sibley, *Snow White and the Seven Dwarfs & the Making of the Classic Film*. New York: Hyperion, 1994: 1–88, esp. p. 87.
[239] http://www.imdb.com/title/tt0029583/awards (accessed 14 April 2011).
[240] http://amedia.disney.go.com/investorrelations/factbook_2008.pdf (accessed 14 April 2011).
[241] http://www.afi.com/10top10/ (accessed 14 April 2011).
[242] Hollis and Sibley: *Snow* White, p. 7.

financial because at that time the Disneys had virtually no money of their own.[243] The film's negative cost (the cost before any release prints were made) was almost $1.5 million, just less than the studio's total revenue for the year in which the film was completed; finance had to be raised from several different sources.[244] The second set of problems related to development of the script and five sections that had progressed as far as partial or even completed animation were ultimately excised from the final version.[245] The third set related to the particular problems of animating people rather than the animals and plants Disney's artists had previously drawn. The difficulty of rendering human movement was tackled by filming many of the scenes with Snow White, the Prince and the Dwarfs in live action. The animators were then able to study the footage at leisure, although rotoscopy itself was not used extensively as it was considered incompatible with the caricaturing that Walt Disney emphasised was so central to his style of realist animation.[246] Live-action footage also helped to solve the problem of representational consistency across the work of several animators, particularly important in depictions of the interactions of the Seven Dwarfs with Snow White and with each other.

Animation of the Dwarfs also presented the challenge of creating seven individuals who always appeared together but with characteristics sufficiently distinct for each of them to be easily recognisable. It was a problem the studio had successfully faced in the short film *Three Little Pigs* (1933). Each Dwarf was

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[243] Gabler, *Walt Disney*, p. 219
[244] Barrier, *Animated Man*, p.130.
[245] Four of them (an argument in the bedroom, a bed-building sequence, the lodge meeting and a soup eating sequence (*Snow White and the Seven Dwarfs* (Platinum Edition of DVD, Disk 2, Bonus Features)), involved the Dwarfs, perhaps because of the temptation – which Disney ultimately resisted – to allow their comedic qualities to dominate the film.
[246] Kaufman, *Fairest* p. 43.

named after a single trait, in a fashion that, *pace* Bettelheim, no less an authority than the eminent scholar and taxonomist of folklore Stith Thompson considered anthropologically authentic: 'In his production of Snow White, Walt Disney was particularly successful in catching the traditional conception of the dwarf'.[247] Like most non-human Disney creations, the Dwarfs have only three fingers and a thumb and, to quote John Grant, are wont to use the exclamation 'Jiminy Cricket!' in a way that, given hindsight, seems 'positively precognitive'.[248] Dopey, Doc and Grumpy are the most fully developed. Doc's Spoonerisms were based on the act of a contemporary radio comedian, Dopey's mute carnivalesque antics on Harpo Marx and Grumpy on the traditional notion of the ultimately loveable misanthrope.[249]

The film's mise-en-scène reflects the European origin of Disney's chief inspirational artist, the Swiss Albert Hurter, as does the depiction of the Dwarfs' house by the Swedish animator, Gustaf Tenggren, and the forest background by the Hungarian, Ferdinand Horvath.[250] There are also American influences, such as the way chipmunks and racoons mingle comfortably with animals from the old world.[251] Walt Disney conceived the Queen as a mixture of Lady Macbeth and the Big Bad Wolf,[252] her face clearly modelled on the strong jaw, gash of a mouth, heavily arched eyebrows and large eyes that Richard Dyer characterised

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[247] Stith Thompson, *The Folktale*, p. 248.
[248] Grant, *Encyclopedia*, p. 141.
[249] Like many of the stereotypical romantic leads in Hollywood films of the time, men who resisted marriage until they discovered their true feelings hidden beneath a superficial masculine avoidance of commitment (Inge 2004).
[250] John Canemaker, *Before the Animation Begins: The Art and Life of Disney Inspirational Sketch Artists*. New York: Hyperion (1997): 9.
[251] Allan, *Walt Disney*, p .46.
[252] Finch, *The Art*, p. 1–160, esp. p. 66.

as constituting the instantly recognisable physiognomy of Joan Crawford.[253] She is depicted in vibrant colours (black cape with white trim and a deep-purple lining, a blue dress and gold necklace and crown) but her very white skin, reddish cheeks and lush red lips provide visual links with Snow White. She is the one significant character in the film who does not sing. Her voice was provided by an experienced actress in her sixties (Lucille La Verne), so both vocally and in appearance she was depicted as a mature woman of experience. Eric Smoodin concluded his recent BFI Classic on *Snow White and the Seven Dwarfs* with the following thoughts about the Queen:

> Possibly the best sign…of the continuing impact of Disney's 1937 film is the anecdotal evidence from generation after generation, of kids terrified by the Evil Queen, perhaps then as now the real star of the film, and the character who most directly links viewers from the late 1939s with those from the early twenty-first century.[254]

Snow White, who appears in thirteen of the twenty scenes, was portrayed as an all-American innocent, a mixture of Janet Gaynor and Mary Pickford. Her hair ribbon, gestures and voice echoed those of Shirley Temple, who though preadolescent was, as observed by Graham Greene in 1937, guided by adults to display quite consciously an adult female sexuality.[255] Snow White does not disturb in this respect, distanced from us as she is by the animation.[256] Smoodin notes the way the softness of the hues of her costume – her yellow dress, high

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[253] Richard Dyer, *Heavenly Bodies. Film Stars and Society* 2nd edn, London: Routledge 2004: 1–210, esp. p.1.
[254] Smoodin, *Snow White*, p. 104. In *Annie Hall* (Woody Allen 1977), Alvy's admission that 'When my mother took me to see Snow White, everyone fell in love with Snow White, I immediately fell for the Wicked Queen' is followed by a cut to a scene of cod animation that contains a curvaceous and attractive Queen, who is otherwise modelled on the one in Disney's film. Forty years after Disney's film was released, Allen's parody references the Queen of *Snow White and the Seven Dwarfs* as one of cinema's instantly recognisable icons.
[255] W.J. West, *The Quest for Graham Greene*. London: Phoenix, 1997: 1–286, esp. p. 77.
[256] Allan, *Walt Disney*, p. 59.

white collar and black cape with red lining – contrasts with the colouring and glamorous style of the Queen and how the contrast emphasises the virtue of the one as against the wickedness of the other.[257]

The film has twenty-six musical numbers, including eleven songs, for which Frank Churchill was awarded an Oscar. The songs, which are simple and catchy, arise out of the action in every case so they assist rather than delay the flow of narrative. Snow White's lines were spoken and sung by the eighteen year old Adrina Caselotti, in a voice that supported the notion of a mixture of little girl and young woman. Her soprano voice may sound out-of-date to present-day audiences, as implicitly acknowledged by the Disney corporation by their inclusion on the DVD released in 2001 of a version of 'Someday My Prince Will Come', sung by Barbra Streisand and reproduced in Dolby Digital Surround Sound. At the time the film was made, however, it evoked memories of the voices of Jeannette MacDonald, the greatest musical-film star of the period, and of Grace Moore, star of the Metropolitan Opera and of musical films. The pitch of Caselotti's soprano voice suggested the sound of an operatic diva and so provided the film with a veneer of high art, without sacrificing its popularity.[258]

Two and a half years after he had first performed his version of *Snow White and the Seven Dwarfs*, Walt Disney began the animation of the film, starting with the comic scenes, then the frightening scenes and finally the sad ones. The order was determined by his wish to start with the easiest and finish with the most difficult scenes.[259] According to Martin Krause and Linda Witkowski, 750 artists contributed to the film, including 66 inkers, 178 painters, 32 animators,

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[257] Smoodin, *Snow White*, p. 70.
[258] Smoodin, *Snow White*, p. 52.
[259] Gabler, *Walt Disney*, p. 233.

102 assistant animators and 107 'in-betweeners' - artists who filled in the work of the animators.[260] Only two of the credited workforce were women, a gender mismatch typical of the Hollywood studios at the time the film was made and fully consistent with the patriarchal stance of the film itself, as noted in the opening paragraph of this chapter.[261] The first cels were sent to ink and paint on 4 January 1937 and didn't reach the camera department till 13 March, remarkable dates when one considers the number of hand-painted and photographed frames required by 21 December to create Disney's 84 minute film of *Snow White and the Seven Dwarfs.*[262]

The main action of the film starts immediately after the book sequence described in Chapter 2, with a multiplane zoom-in to the Queen's castle from a position in the forest that later will be the site of most of the story (Table 2.4, Segment A1).[263] This establishing shot of the castle (Figure 3.1) is framed by trees in a composition that is repeated so frequently that, as discussed below, it becomes the film's dominant visual motif (see also, for example, Figures 3.2, 3.5, 3.6).[264] There is a dissolve to a closer view of the tower, with a further zoom to a bay window, through which we enter the castle. We see the Queen from behind, in a darkened room, ascending steps towards her magic mirror. She moves away from camera, strikingly – and symmetrically – framed by pillars. Extradiegetic music adds to the sense of unease and expectation that has been established

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[260] Martin Krause and Linda Witkowski, *Walt Disney's Snow White and the Seven Dwarfs. An Art in its Making*.New York: Hyperion, 1995.
[261] Smoodin, *Snow White*, p. 31.
[262] Gabler, *Walt Disney*, p. 260.
[263] See Appendix 1, Table 1.1 for a shot breakdown of Segment A.
[264] Robin Allen thought the most likely inspirations were castles in Bavaria, the Rhineland and Segovia (*Walt Disney*, p. 47). For today's viewer, the most familiar, albeit anachronistic, reference is to the opening shots of Xanadu in *Citizen Kane* (Orson Welles 1941).

already by our being transported directly from outside to within the Queen's domain, despite its isolation inside a castle on a hill that is beyond a river or moat. The Queen's image is reflected in the mirror as she interrogates it, again in a symmetrical frame-within-a-frame (Figure 3.2). Her discovery that there is one 'more fair than thee' with 'lips red as the rose' reveals Snow White as the target of the Queen's envy.[265] The genie's statement that 'Rags cannot hide her gentle grace' anticipates her Cinderella-like appearance in the next sequence.

Figure 3. 1 *Snow White and the Seven Dwarfs*: Establishing shot of the Queen's castle, framed by trees within the cinematic frame.

The film's cinematic style has been announced immediately by these opening shots – the protagonists are centre screen and repeatedly and elaborately framed; spatial depth is achieved by the multiplane camera but also by the way the Queen's image and her reflection are shown in the same frame (Figure 3.2). The use of cuts, dissolves and fades according to the principles of continuity editing combine to provide the spectator with the illusion of reality that Disney was seeking. There is, for example, a cut matched on action as Snow White approaches the Wishing Well and pulls up the bucket, and the film's first

[265] The comparison is given in the Grimms' version as 'lips red as blood'. The euphemistic simile given here illustrates the detail of the film's softening of the Grimms' version.

segment contains four shot/reverse shots: between inside and outside the castle, connecting space, between the Queen and the genie of the mirror, connecting character, looking into and out of the Well, connecting looks and twice between the Prince and Snow White in the serenade scene. These sequences establish that the narrative crisis that will propel the story arises from the threat to the Queen's narcissism posed by her stepdaughter's beauty – that is, that the story will be psychologically motivated, in classic Hollywood style. They also prepare us for our first sight of the 'fairest in the land'.

Snow White's first appearance is in her Cinderella role, clad in rags and patches, washing the steps outside the castle, her movements echoed by attendant white doves. She walks over to the Wishing Well and, as she sings to the birds, the Prince arrives on horseback, in a sequence highly reminiscent of the Mayday party in the contemporary Jeanette MacDonald and Nelson Eddy musical *Maytime* (Robert Leonard 1937).

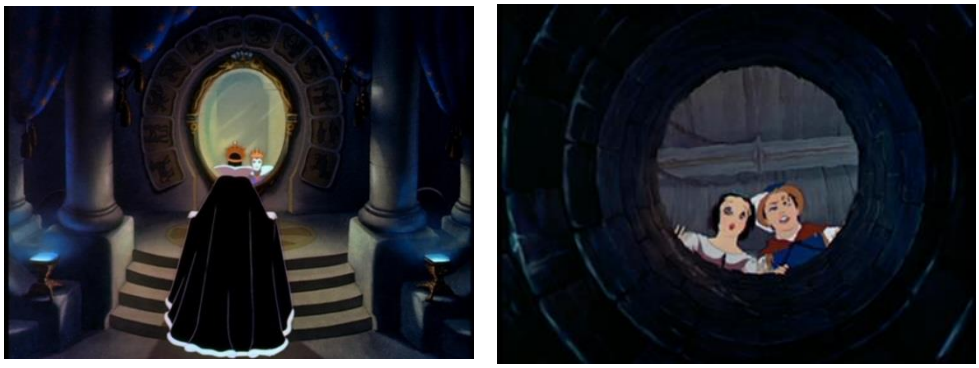

Figure 3. 2 *Snow White and the Seven Dwarfs*: On the left, the Queen sees her reflection in the magic mirror. On the right, Snow White and the Prince see their reflections in the Wishing Well. In both shots, the images are framed within a frame; the combination of the 'real' and the reflected image of the Queen add to the sense of three-dimensional space.

A semi-close-up side view of Snow White looking into the well is followed by an image of her reflection from the water at the bottom of the well. She continues to sing as the Prince scales the wall and joins her, seen again in reflection (Figure 3.2). Snow White sings 'I'm wishing' into the well. Her own voice answers as an echo, which echo then assumes an independent life, singing with her, initially in counterpoint and then in harmony. This sequence provides a revealing contrast to what the Queen has just seen in her mirror - that is, an austere, solitary and angry image of herself, consumed by envy. Snow White, on the other hand, has seen herself accompanied by her love-object, in harmony with herself and with her wish fulfilment, the Prince. The reflections provide the protagonists with the opportunity to scrutinise themselves but they also provide the film's spectator with instant and graphic insights into the psychic positionings represented by Snow White and the Queen. The sequence closes with a shot composed, with attendant birds, in another frame-within-a-frame.

Disney's use of reflected images to introduce the two major protagonists and as a vehicle to offer the spectator narrative information supports Zipes' view of the key role of mirrors in this film. From a psychoanalytic point-of-view, the use of mirrors points more specifically to the unconscious terrain of the film – that is to say, to a Lacanian and Kleinian analysis of the function of mirrors in the film that allows us to postulate evocation of particular fantasy structures belonging to the primitive level of psychic life – namely, the development of the ego and the threat of ego annihilation. As will be described in Chapters 4 and 6, reflected images also appear in *Pinocchio* and in *Bambi.* Clearly Disney's artists found the qualities of mirrors and their reflected images particularly suited to their project of naturalistic animation but, as noted, there exists concomitantly a psychic realm which the mirrors evoke. In optical terms, reflected images are produced when a

smooth surface, such as water in a wishing well or the silvered glass of a mirror, reflects light waves in a direction that is equal and opposite to the one in which they arrive. The observer sees the reflected image along the line of reflection and so, by illusion, the reflected image appears to be situated beyond the surface from which it is reflected. A reflected image is a virtual image: it only exists as an optical phenomenon, it is without substance and it cannot be projected.[266] In a two-dimensional representation such as a painting or a film, the 'displacement' of a reflected image creates a sense of space, as can be seen in the shot of Snow White and the Prince looking at themselves reflected from the bottom of the well (Figure 3.2). In a painting that depicts both a mirror and its reflection, the virtual reality of the picture includes a second order of virtual reality in the form of the painted reflection.[267] The Queen and her reflection are shown in a single shot in Figure 3.2; had this been a live-action film, the spectator would have been able, with no conscious effort at all, to deduce where the recording camera had been placed, again creating a sense of space with a depth that is instantly measurable by the mind's eye, despite that space being depicted in two dimensions only.

Snow White responds to the Prince's question 'Did I frighten you?' by running back into the castle, from which she emerges onto a balcony to watch him complete his serenade in a composition whose mise-en-scène recalls the balcony scene in George Cukor's film of *Romeo and Juliet* (1936).[268] The sequence is interrupted by a cut to an image of the Queen watching from a

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[266] Richard Gregory, *Mirrors in Mind.* New York: W.H. Freeman and Company, 1997: 1–302.
[267] Jonathan Miller, *On Reflection*. London: National Gallery Publications, 1998: 1–224.
[268] The visual allusion to this recently-released Oscar-nominated film from MGM no doubt contributed to the impression Disney wished to convey that *Snow White and the Seven Dwarfs* was a quality product of genuine cultural value, a point noted earlier in relation to the studio's use of Adrina Caselotti's singing voice for Snow White. It also reinforced the element of romance in the film and the notion of Snow White and the Prince as a 'couple'.

window in the castle, her fury as she pulls the curtains shut indicating that her envy is now heightened by Snow White's having her own suitor. The opening sequence had established that the space inside the castle (cold, angular and unwelcoming) 'belongs' to the Queen, just as the following scene had established that the garden with its Wishing Well (lit by the sun and surrounded by cooing birds, symbolising hopes for future love and fertility) are Snow White's territory. While the mise-en-scène sets up a spatial binary to match the oppositional roles of the Queen and her daughter, Snow White's response to the Prince's overtures is to rush back into the castle - a representation in one scene of ambivalence in relation to separation and individuation, of fear of sexuality and of the persisting fantasy of maternal safety that are all so characteristic of the adolescent phase of development.

The Queen instructs the Huntsman to kill Snow White and bring back her heart as proof he has completed the deed. He takes her to the forest and, as she sings ('One Song') and comforts a chirping bird, he approaches with a raised knife. Snow White realises her peril through seeing the fall of his shadow on the rock. He cannot bring himself to stab her, the urgency of his change of heart indicated by a close-up of his hand shaking, opening and dropping the knife. 'She's mad', he explains, 'she's jealous of you. She'll stop at nothing...run away and hide'. Bettelheim had argued in *The Uses of Enchantment* that the Huntsman of the Grimms' version is an unconscious representation of Snow White's father. 'Who else but a father substitute would seem to acquiesce in the step mother's dominance and nevertheless, for the child's sake, dare to go against the Queen's will?' he asks, 'This is what the oedipal and adolescent girl wishes to believe about her father: that even though he does as the mother bids him, he would side

with his daughter *if he were free to…*'[269] Such an act does not seem probable for a father figure of fantasy to perform; moreover the Huntsman's appearance in the film, and indeed in the Grimms' verion, is so fleeting that it seems unlikely that he contributes such an important symbolic function to the story. Snow White flees in terror into the dark woods in a sequence animated in a highly expressionistic style, designed to suggest that the dangers threatening Snow White lie in her imagination just as much as in the 'real' world of actual danger.[270] An owl shrieks, branches catch at her dress and she falls into a swamp containing logs that instantly turn into snapping crocodiles. The hole into which she falls becomes a gaping mouth, its jaws dripping with cobwebs and surmounted by large yellow eyes. She escapes back into the forest where anthropomorphised trees with scary eyes and branches with terrifying hands – hands that prefigure those of the Queen as she transforms herself into an old peddler woman – try to catch her. Tree leaves chase Snow White, the camera angle tilts to 45 degrees, the background fragments in a montage of unidentifiable, threatening and approaching objects. Snow White collapses to the ground.

Snow White's fall into the swamp may be read as a metaphorical device to indicate her entry into a land of wonders, akin to Alice's fall through the rabbit hole or Dorothy's into the Land of Oz. Although it is possible to eroticise the metaphor ('When a female person dreams of falling, this doubtless regularly carries a sexual connotation in that she becomes a *'fallen woman',* wrote Freud in *Interpreting Dreams*),[271] I argue that the impact of this sequence is largely attributable to the way Snow White's state of mind has been implied by the fracturing of the background and distortion of space, as well as by her facial and

[269] Bettelheim, *Uses*, pp. 205–6, my emphasis.
[270] Kaufman, *Fairest*, p. 115.
[271] Freud, *Interpreting,* p. 218, emphasis in the original.

vocal expressions of terror. Snow White gets lost, not just in the forest but also 'in her own subjective imagination', in that every feature of the natural world appears to have been transformed into something alien and threatening.[272] The sense of threat is increased by the way the recurring images of terror are almost entirely part-objects (for example, the 'hands' of the trees, the jaws of the crocodiles, the mouth of the hole into which she falls); a Kleinian reading would propose that the sequence is constructed to evoke a sense of the persecutory fears and anxieties of a paranoid-schizoid mental breakdown, attributed by the spectator to Snow White's fear of annihilation by her stepmother.

Dawn illuminates the forest clearing and reveals its normal appearance; a zoom out shows the animals to be timid rather than terrifying as they approach Snow White with concern. 'I won't hurt you,' she says to them, 'I'm awfully sorry…but you don't know what I've been through. And all because I was afraid…I'm so ashamed of the fuss I've made'. As she sings, we watch the fluid animation of animals that Disney's artists had become so adept at drawing in numerous *Silly Symphonies*. The birds lead her through the forest – the backgrounds now still and unthreatening – and the trees part to reveal her point-of-view of the Dwarfs' cottage, framed at the sides by trees and in the foreground by a flowing stream. In contrast to the Grimms' version of the story, in which the Dwarfs keep their cottage spotlessly clean, the cottage in *Snow White and the Seven Dwarfs* is in complete disarray. There is a pick embedded in the table, stacks of dirty dishes, a cooking pot with a shoe inside it and dust and cobwebs everywhere. Snow White remarks on its untidiness, musing 'Do you think their mother…? Perhaps they have no mother … then they're orphans. That's too bad,' and then volunteers 'I know, we'll clean the house to surprise them. Then

[272] Whitley, *Idea*, p. 21.

maybe they'll let me stay.' The animals and Snow White do indeed clean the house and the dishes and the Dwarfs' clothes, while Snow White sings 'Whistle while you work'. Two squirrels, reprimanded for sweeping dust under a rug, sweep it instead into a mouse hole but it's immediately blown back at them. A furious mouse emerges in what might be read as a self-referential gesture of defiance at the relegation of The Mouse in Walt Disney's vision of a future of full-length feature films rather than of *Micky Mouse* shorts.

The film has departed here from its primary narrative into a digression on what might appear to be simply the domestic imperatives of Walt Disney's times. This extra-narrative digression consumes about a sixth of the film's running time (Table 2.4). In his meticulous account of the film, Kaufman draws attention several times to the sequences that were ultimately omitted from the final version of the film (for details, see footnote 245), despite some of them being in a late stage of animation, because of the need to limit the length of the film.[273] It is therefore all the more remarkable that the prolonged and somewhat repetitive sequences concerning untidiness, dirt and cleaning were retained in the final version. We observe in these sequences that cleaning and washing, even when unaided by the technology of American modernity, is fun (especially while whistling a happy tune), natural (birds do it) and it may even compensate for being an orphan.[274] On this reading it is not surprising to learn that success in this arena might gain one a cherished reward ('Then maybe they'll let me stay'). Disney's didactic messages concerning the domestic and maternal aspirations of

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[273] Kaufman, *Fairest*, p 164

[274] Jonathan Rosenbaum notes somewhat unchivalrously that Snow White does most of the whistling while the animals do most of the work. Peter Brunette, noting the closeness of the timing of the film's release to the Depression, suggested a more appropriate song might have been 'Whistle *if* you work'. (Rosenbaum, *Dream Masters*, p. 66; Peter Brunette, 'Snow White and the Seven Dwarfs', in Danny Peary and Gerald Peary (eds) The American Animated Cartoon. New York: E.P. Dutton, 1980: 66–75, esp. p.66.

a young woman in the first half of the twentieth century are reiterated as Snow White insists the Dwarfs wash their hands before eating. Young women, moreover, must be courageous in the face of danger ('And all because I was afraid'), not become hysterical when things go wrong ('I'm so ashamed of the fuss I've made.') and say their prayers when they go to bed. Slick animation, catchy tunes and amusing cartoon gags (of which Dopey's swallowing a bar of soap is a fine example) ensure that the lessons about keeping home and socialising the family are not enunciated in too preachy a fashion.

Snow White has simultaneously enacted a daughterly and a maternal role by asking for the Dwarfs' protection while at the same time demanding they observe the proper way, that is, her way, to prepare to eat a meal. From a psychoanalytic perspective, the depiction of the repetitive cleaning undertaken by Snow White may resonate with fantasies belonging to adolescent sexuality and so represent the cleaning away of unacceptable thoughts, that is, of the 'dirty thoughts' of sexual attraction that an adolescent girl might feel having recently met the Prince of her dreams. Consistent with the psychoanalytic principle of over-determination,[275] the representation of continual cleaning might, at the same time, also function to depict a fantasy concerning the expiation of feelings of guilt over putative thoughts of revenge. Here the repetitive cleaning would be read as analogous to the way Lady Macbeth repeatedly attempted to wash from her hands the (hallucination of) blood that symbolised feelings of guilt over the murder of Duncan. From the perspective of object-relations theory, one notes the reparation implied by the prolonged scenes of cleaning, washing and feeding,

[275] Over-determination is defined as an unconscious formation that results from several different causes. Laplanche and Pontalis, *Language,* p. 292.

particularly in view of the tempestuous events immediately preceding Snow White's arrival at the Dwarfs' cottage.

Figure 3. 3 *Snow White and the Seven Dwarfs*: Scenes of cleaning and washing. Reading clockwise: Snow White cleans the steps of the Queen's castle and the inside of the Dwarfs' cottage; at Snow White's instigation, the Dwarfs wash themselves and the animals wash the Dwarfs' clothes.

The question presses, however, as to the significance of the dirt that Snow White, the animals and finally the Dwarfs so assiduously clean away (Figure 3.3). While the animals' contact with dirt is direct, physical and through their bodies (a chipmunk is enshrouded in a cobweb, the animals sweep with their tails, inhale dust and sneeze, the deer and chipmunks clean the dishes by licking them), Snow White's body is kept at a distance. She uses a broom, keeps the duster at arm's length and turns her head away as it is shaken.[276] The repetitive avoidance and elimination of dirt depicted in these sequences and,

[276] Whitley, Idea, p. 30.

indeed, in our very first view of Snow White as she is shown cleaning the steps to the castle (Figure 3.3), may be construed as an attempt to allay fears about the risks of the spread of germs by dirt, that is, of the danger posed by dirt of causing disease and, by extension, of causing death. During the time in which *Snow White and the Seven Dwarfs* was planned and created, the infectious disease most widely feared was poliomyelitis, also known as infantile paralysis. There were frequent epidemics of this disease in the United States and in the second half of 1934 almost two and a half thousand suspected cases were treated at Los Angeles County Hospital alone.[277] President Franklin D. Roosevelt's confinement to a wheelchair as a consequence of contracting paralytic polio meant that the disease was universally known to Americans. Before the advent of safe vaccines (which were not developed till the 1950s), parents were taught that the only way to protect their children from the disease was to 'Make filth the enemy and cleanliness the goal'.[278]

Cleaning is of course a normal activity inherent in most species[279] but one that in humans does have important cultural aspects, most familiarly expressed in taboos and religious rituals. The anthropologist Mary Douglas considers that ritualistic washing and scrubbing implies more than a simple attempt to avoid disease.[280] Dirt, which Douglas defines as 'matter that is out of place', implies a set of ordered relations that has now been breached. For example, my slippers, perfectly acceptable and understood to be clean when they are in my bedroom or

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[277] John R. Paul, *A History of Poliomyelitis*, *History of Science and Medicine*. New Haven, CT: Yale University Press, 1971: 1–486, esp. p. 221.
[278] David M. Oshinsky, *Polio: An American Story*. Oxford: Oxford University Press, 2005: 1–342, esp. p. 2.
[279] Valerie A. Curtis, 'A natural history of hygiene', *Canadian Journal of Infectious Disease and Medical Microbiology* 18.1 2007: 11–14.
[280] Mary Douglas, 1966, *Purity and Danger: An Analysis of Concept of Pollution and Taboo*. Abingdon: Routledge, 2002: 1–244, esp. p. 44.

on my feet, would be considered dirty and unacceptable if they were found among the food on my kitchen table. As we clean and scrub away dirt we are, so Douglas avers, carefully separating objects from each other and placing boundaries between them. So the preoccupation with cleaning in *Snow White and the Seven Dwarfs* might also be interpreted as symbolising an unconscious wish to rearrange, perhaps even to reconstruct, internal objects that have become fragmented and split as a result of our identification with Snow White's painful acceptance of her (step)mother's murderous intentions. The long digression of the cleaning scene thus taps into two structures of fantasy at the same time – a defence against the 'dirty' thoughts of sexuality and a defence against a more primitive fantasy regarding a fear of an annihilating power projected onto the mother, of what Klein calls primitive sadistic hate deriving from the death drive.[281]

Freud considered cleanliness to be an essential feature of civilization. In *Civilization and its Discontents* he wrote:

> Yet our claims on civilization are far from exhausted. We also demand evidence of cleanliness and order. We do not think highly of the civilization of an English country town in Shakespeare's day when we read that there was a large dunghill in front of the door of his father's house in Stratford. We are indignant and call it 'barbarous' – which is the opposite of 'civilized' – when we find paths in the Vienna woods littered with discarded papers. Squalor of any kind seems to us incompatible with civilization, and we extend the demand for cleanliness to the human body too. We are amazed to read what a foul smell emanated from the person of the Roi Soleil. And we shake our heads when, on visiting Isola Bella, we are shown the tiny washbasin that Napoleon used for his morning

[281] Melanie Klein, 'On the Theory of Anxiety and Guilt 1948', *Envy and Gratitude: And Other Works*. London: Vintage, 1997: 25–42.

> toilet. Indeed, we are not surprised if somebody actually proposes the use of soap as a criterion of civilization.[282]

Here it is also instructive to note the obsessive tidiness and cleaning that have always been features of the Disney theme parks. Writing about the very first of them, the construction of which was a particular and longstanding project for Walt Disney himself, Neal Gabler reports: 'Disneyland was going to be almost eerily clean – so much so that cleanliness would become not only a hallmark of the park but a kind of running joke about it'.[283] Gabler goes on to quote a reporter writing, without any suggestion of irony, about the famous Disneyland sanitation crew: 'It is calculated that a discarded cigarette butt will lie dormant for no longer than 25 seconds before it is pounced upon'. While the repetitive cleaning in the theme parks and in the above-mentioned scenes in *Snow White and the Seven Dwarfs* may be symptomatic of a systemic fear of dirt and the threat to health it might represent, such cleanliness becomes more than a strategy of hygiene when we consider the familiar admonition that 'Cleanliness is indeed next to Godliness'. John Wesley's dictum, which found its precedent in the biblical psalmist's plea 'Wash me thoroughly from mine iniquity, and cleanse me from my sin',[284] returns us to the several connections between cleaning and guilt to which attention has been drawn. Clearly a number of interpretations are possible, but a preoccupation with anxieties about bodily invasion by germs – 'bad objects' in the Kleinian sense – about disease and ultimately about death is compelling.

Disney's 'animation' of death is by no means successfully repressed and it resurfaces in many guises. Snow White's 'sleeping death' (Figure 3.7), which follows her taking the bite of the Queen's poisoned apple (the bitten piece of

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[282] Freud, *Civilization*, pp. 1–82.
[283] Gabler, *Walt Disney*, p. 528.
[284] Psalms 51: 2.

apple is yet another (bad) part object), links a persecutory and envious fantasy to a familiar symbol of forbidden knowledge so that the (un)dead Snow White comes to evoke several fantasies concerning sex and death. The climax is reached with the Prince kissing the seemingly-dead Snow White in her glass coffin, a scene that has been interpreted by the literary scholar Elisabeth Bronfen in her study of the eponymous fairy tale, as a necrophilic desire related to the patriarchal equation of passivity with femininity and, in turn, of femininity with death.[285]

Meanwhile, in an instance of parallel editing, we are introduced to the Dwarfs in their diamond mine, happily singing ('It ain't no trick to get rich quick') and working at becoming rich. The film's release followed closely on the experience of the Depression, which perhaps accounts for the tempering of Disney's message that hard work easily brings rewards. When the Dwarfs leave the mine for home, their bodies cast giant shadows on the rocks. The difference in the size of the subjects and their shadows is reflected in the difference in the direction in which they move (Dwarfs to the right, shadows to the left of screen). A similar expressionist composition was later employed by Disney's great admirer Sergei Eisenstein in his film of *Ivan the Terrible Part 1* (1945), as shown in Figure 3.4. Eisenstein had expressed great admiration for Disney's films, particularly *Snow White and the Seven Dwarfs*, and for Disney's development of the 'the mysteries of a contour that has learned to exceed itself...[that is, of its]

[285] Elisabeth Bronfen, 'Bodies on Display', *Over Her Dead Body: Death, Femininity and the Aesthetic*, Manchester: Manchester University Press, 1992: 95–109.

'plasmaticness', a plasmatic character being defined as one that revels in its ability to change its form.[286]

Figure 3. 4 On the left**, *Snow White and the Seven Dwarfs*:** the Dwarfs leave the mine after work. On the right, ***Ivan the Terrible, Part 1*** **(1945):** Ivan discusses policy with his ambassador to England. Giant shadows of small objects dominate the compositions.

Anne Nesbet has drawn attention to numerous resonances between the two films, including the theme of orphans (Snow White is effectively one, she wonders if the Dwarfs might be orphans and Ivan claims to be an orphan), the transformations (Ivan comes to look like the transformed Queen as he develops a stoop, wizened features and puts on a black hood) and the emancipation of shadows from their subjects.[287] The last point is illustrated in Figure 3.4, and exemplified in the gag in which the Dwarfs search the house for the invader who had cleaned it so effectively. Doc's shadow turns and whispers to the one following it, a textbook example, declares Nesbet, of how in Disney's films a 'contour may, as Eisenstein claims, begin to take on an independent life'[288] – and also, perhaps, an example readable as a moment of Disney's self-reflection on

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[286] Sergei M. Eisenstein*, Eisenstein on Disney*, edited by Jay Leyda, Calcutta: Seagull Books, 1986: 21.
[287] Anne Nesbet, *Savage Junctures. Sergei Eisenstein and the Shape of Thinking*, London: I.B. Tauris, 2007: 194.
[288] Nesbet, *Savage,* p.189.

animation. Nesbet notes also that the poisoned goblet given by the Evil Queen Efrosina to Anastasia in Eisenstein's film looks like a twin of the cup from which the Queen sips the potion that transforms her into an old peddler.[289] Finally, Anastasia in white, lies as if dead on a bier surrounded by candles and men in mourning (cf. Figure 3.12).[290]

I have adumbrated Eisenstein's regard for Disney, and *for Snow White and the Seven Dwarfs* in particular, for several reasons: first, because although their artistic relationship has been the subject of continuing research in the field of Eisenstein studies, it has thus far evinced little interest in the field of Disney scholarship; second, because the sincerity of Eisenstein's professional regard can be judged from the numerous filmic references incorporated in the Ivan films. The foremost reason, however, is the useful lessons Eisenstein's theories have to teach us about Disney's films, viz. his view of their emancipatory properties, his notion of plasmaticness and his comments on shadows (see, for instance, Figures 3.4, 4.3, 4.5).

The next section of the film (Segment D1) opens with a recapitulation of the film's opening shot but this time in darkness.[291] The Queen learns of Snow White's survival and descends in fury to her subterranean laboratory to create a potion that will 'disguise [her] so completely that no one will ever suspect [her involvement in Snow White's poisoning]'. The ensuing scenes allude perhaps to the contemporary fascination and fear of science into which Disney had earlier tapped in a Mickey Mouse short called *The Mad Doctor* (David Hand 1933). That film, a kind of pastiche of *Frankenstein* (James Whale 1931), depicts a crazy

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[289] Nesbet, *Savage*, p.205.
[290] Nesbet, *Savage*, p.205.
[291] See Appendix 1, Table 1.2 for a shot analysis of Segment D.

physician who, in a dream, performs medical experiments by using a power-saw to gather body parts from his victims. The Queen's laboratory in *Snow White and the Seven Dwarfs* seems to have been modelled on Dr Jekyll's *in Dr Jekyll and Mr Hyde* (Rouben Mamoulian 1931). The paraphernalia in the mise-en-scène of the two films are remarkably similar (Figure 3.5), as is the research each protagonist has had to undertake to ensure that their formulas are correct.

Figure 3. 5 On the left, ***Dr Jekyll and Mr Hyde*** (1931). On the right, ***Snow White and the Seven Dwarfs***. The compositions and mise-en-scène of their laboratories are remarkably similar.

Both raise the glass containing the magic potion to centre screen and in both cases the room spins around them – but here the similarities end. In the adult horror film, we are shown directly five episodes of the terrifying transformation of Dr Jekyll into Mr Hyde, but in Disney's film the metamorphosis of the Queen into the old peddler woman is achieved by synecdoche – rather than expose his family audience to a direct view of the Queen's transformation, Disney focuses on the Queen's hands, then her cackling voice, until finally we see a shocking close up of the face of the fully transformed Queen.

Back in the Dwarfs' house, in an extra-narrative sequence that does not occur in the Grimms' version of the story, a party that includes Snow White is under way in which, to borrow Eisenstein's terminology, the Dwarfs have an

engagingly plasmatic appearance.[292] There is certainly a joyful sense of carnival in this scene. Snow White answers the Dwarfs' request to 'do something' by telling them a love story, which develops inevitably into her singing 'Someday my Prince will come'. The Dwarfs appear transfixed by the romantic longing this song expresses but the clock strikes eleven and it is clearly bedtime. Gallantly they give her (all) their beds, she says her prayers (including the request that Grumpy will like her) and, after a comic snoring scene of the Dwarfs asleep, there is an exterior multiplane zoom out, followed by a fade to black as peace settles on the Dwarfs' house.

The main thread of the narrative resumes with the Queen's preparation of the poisoned apple, the discovery of its antidote ('victim of the Sleeping Death can be revived only by Love's First Kiss') and the Queen's departure by punting, like Charon, along the river that now looks like the Styx, the river which in Greek mythology forms the boundary between earth and Underworld, between life and death. Meanwhile the Dwarfs leave the cottage, warning Snow White to beware of strangers.[293] Snow White kisses the Dwarfs farewell – including Grumpy and so it seems her prayer has been answered – and a fade to black is followed by the Queen/peddler's appearance, crossing a river on the way to the house. Snow White is engaged on one of her domestic tasks (making a gooseberry pie for

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[292] However, in order to ensure that Snow White's aura of purity was maintained, she could not be depicted as either comic or grotesque so Disney employed Marge Belcher (subsequently the famous dancer Marge Champion) as the model for her animation. The animators needed live models for the Dwarfs as well and one of them was again Marge Belcher. Wrapped in a baggy overcoat, she served as a model for two Dwarfs at once, when for the 'Silly Song' dance, Dopey gets on Sneezy's shoulders to dance with Snow White, also modelled by Marge Belcher (Nesbet, *Savage*, p.192).

[293] In Proppian terms, this warning represents a narrative move that imposes a prohibition on Snow White, which, again in Proppian terms, we cannot but anticipate will shortly be violated.

Grumpy) as the Queen looks in, framed in the foreground by the kitchen window, in the background by the trees surrounding the cottage (Figure 3.6).

This image is an example of the film's repeated multiple framing, to which attention was drawn in Chapter 2. The framing in *Snow White and the Seven Dwarfs* is narrative, visual and audial. The recurrent visual framing (see also Figures 3.1 and 3.2 for further examples) is sufficiently frequent as to justify the term obsessive, and since the effect of the frames exceeds any overt function they may have, they may also be considered excessive. The framing becomes a motif so pervasive that it arguably invites a symbolic interpretation: can this compositional motif be read as part of the film's latent content?

Figure 3. 6 *Snow White and the Seven Dwarfs*. The Queen in her disguise as the old peddler woman, framed by the open window of the Dwarfs' cottage, is about to tempt Snow White to bite the poisoned apple.

While it is sometimes possible to discern an intention to the pictorial framing (the images of the book that opens and closes the film, for example, with its pseudo gothic script), in the main, meaning is rarely clear. One might consider that the framing motif originates in the conventions of painting, particularly since at issue here is an animated film created by skilled and educated visual artists. While that is likely to be part of the explanation, it cannot account for the double-

ended narrative framings by the book and by the castles (Figures 3.1), nor for the narrative framing by the Prince's singing of 'One Song', although the latter does serve to demonstrate the reciprocity of the romantic love between the Prince and Snow White.

Frames, of course, confine as they exclude, they focus our attention at the very moment they divert it. What is placed within the frame is significant and worthy of attention, what is outside is ignored, although whether safely so will always be contingent. Frames can also enhance the verisimilitude of representation by giving the image a three-dimensional quality (as, for example, in Figure 6.1). Narrative framing, on the other hand, is concerned with beginnings and endings, with the return of the familiar. It can therefore have a reassuring quality, serving as a consolation for the child who has been terrified by events in the film that even Disney could not – or would not – eliminate. By delineating the filmic world from the real world, the obsessive framing in *Snow White and the Seven Dwarfs* functions, in part at least, to contain the unease and fear that the film evokes in the spectator.[294]

Some of the visual framing, for example, the image of the Queen/peddler shown in Figure 3.6, illustrates the unease provoked when a frame, in this case the window into Snow White's kitchen, is transgressed. In this situation the frame, rather than containing anxiety, provokes it. Another example is provided in Figure 4.6, in which Monstro's body breaches the cinematic frame in his attack on

[294] This position is consistent with the formulation of the psychoanalyst Marion Milner that 'The frame [and here she is referring to temporal as well as spatial frames] marks off the different kind of reality that is within it from that which is outside it'. For Milner, 'the frame' marks a boundary between two worlds, or two realities as she puts it. Marion Milner, 1955,'The Role of Illusion in Symbol Formation,' in *Transitional Objects and Potential Spaces: Literary Uses of D.W.Winnicott*, ed. Peter L Rudnytsky, (New York: Columbia University Press, (1993) 13-39).

Pinocchio and Geppetto's raft. As discussed in Chapter 1, these opposing effects remind us how frames (usually windows and doors but also rivers and ravines that act as boundaries) can resonate with the borders of our own consciousness, representing the interface between what we are conscious of and what remains in our unconscious mind. Some of the visual framing resonates with how we have to negotiate the boundary between the two, a negotiation that is intensely provoked in this film, for example, by the Queen's threat to Snow White and by Snow White's sleep of death. We may also note that, while not constituting a frame, both the castle and the Dwarfs' house have in front of them water that must be crossed before a threatening place can be left or a safe one be entered.

Boundaries offer a threshold between the safety of what is contained within (images of the Dwarfs' cottage, for instance) and the chaos that is without (the threat implicit in leaving the cottage). How we negotiate these boundaries reflects our ability to deal with the unfamiliar. Each time one is crossed, Winnicott's concept of transitional processes suggests a reinforcement of personal autonomy through the containment of anxiety, which, it is argued in Chapter 1, is a source of at least some of the pleasure the spectator derives from the experience of cinema. And just as the film frame delineates the cinematic world from the real world, the narrative frame offers the spectator reassurance that what is contained within it is a fictional world – which is to say, in the more familiar terms of a parent to a child, 'don't be too frightened when the Queen turns into a horrible witch because it's *only a film*'.

Another episode of crosscutting follows as Snow White succumbs to the Queen's deception and the birds attempt to inform the Dwarfs of her danger. Snow White's bite of the apple takes place off-screen and she is next seen collapsed on the ground. The Queen runs out of the cottage into a storm as the

Dwarfs and the animals come chasing after her. Peter Brunette has drawn attention to the parody of a Hollywood Western achieved by the increasingly rapid crosscutting between the Dwarfs' galloping towards the cottage, with Grumpy even rearing back on his 'horse', and the events in the cottage.[295] Running through the woods and climbing up on the rocks, the Queen realises she is trapped and attempts to lever a rock onto the oncoming Dwarfs. The rock on which she is standing is hit by lightning and she falls to her death, watched by two buzzards circling down to the chasm into which she has fallen – though not by us, as again a distressing scene is withheld from view.

The use of off-screen action can spare the audience a distressing spectacle, for example by keeping physical violence off the screen,[296] the most compelling example of which in the films under discussion here being the death of Bambi's mother. The same cinematic technique can also be used, however, to enhance the sense of terror, as in the case of certain horror films.[297] Off-screen action engages the spectator at the level of conscious problem solving in plotting the story – 'how should I understand what has happened in a scene I have not been allowed to see?'[298] As discussed in Chapter 1, Segal's concept of the 'completion' required of the recipient of works of art, and by extension of the spectator of film, provides a psychoanalytic perspective on the use of cinematic off-screen space. In this formulation, completion of the film's off-screen action becomes part of the spectator's unconscious interpretation of its concealed meaning(s). The Queen has been struck down by the forces of nature she has

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[295] Brunette, *Snow White*, p.68.
[296] Noël Burch, *Theory of Film Practice*. London: Secker and Warburg, 1973: 1–182, esp. p. 24.
[297] Bordwell and Thompson, *Film Form*, p. 122.
[298] David Bordwell, *Narration in the Fiction Film*. London: Routledge, 1985: 1–384, esp. p. 119.

tried to bend, justice has been done and the spectator cannot but maliciously enjoy her misfortune. Such *Schadenfreude* is, however, unacceptable to the ego and becomes an obvious target for repression through concealment.

Figure 3. 7 *Snow White and the Seven Dwarfs*. Snow White's sleep of death.

Snow White lies on her bier and then in a glass coffin (Figure 3.7), onto which her name has been inscribed. She is suspended between life and death, a member of the sisterhood of the undead. This animation of her sleep of death, an oxymoron in all terms but those of the magic of animated film, signifies the return of the repressed anxieties concerning death discussed above. The Prince's voice is heard singing 'One Song' as he effects Snow White's re-animation with his kiss. She awakens, he lifts her in the manner of a groom taking his bride across the threshold of their new home and, after the obligatory kissing of the Dwarfs (Grumpy in line, now second only to Doc), the Prince leads her on his horse, via a cut matched on action, into the sunset. The action closes as it opened, with a multiplane zoom to a castle.

The most prevalent criticisms of *Snow White and the Seven Dwarfs* have been that the film celebrates a form of womanhood that is without agency (Snow White in her sleep of death as the ultimate fulfilment of the patriarchal wish for female

passivity), that it proposes physical beauty as a sufficient condition of womanhood ('Famed is thy beauty, your majesty…' the genie in the mirror reassures the Queen) and that it promotes a domestic and maternal role as the way to bring fulfilment to a woman's life.[299] Sandra Gilbert and Susan Gubar argue that, in portraying Snow White as the sweet, innocent and passive 'angel-woman' and the Queen as the murderously jealous and forbiddingly cold 'monster-woman', the film reinforces patriarchal attitudes to femininity.[300] There is little to contest in these critiques, not least because, despite the elimination of the Queen and the union of the young couple, the memory of the attempts to kill Snow White lingers in the mind as the unfinished business of patriarchy. *Snow White and the Seven Dwarfs* was clearly not a film designed to challenge the *status quo* and it is, therefore, perhaps surprising that, in spite of the changes in the attitudes of women and towards women's aspirations that have occurred in the last seventy years, the film continues to attract audiences. The outdated nature of its overt social messages makes it clear that this component of the film cannot explain the film's enduring success - on the contrary, in fact. Tatar argues that it is the Queen's disruptive, disturbing and divisive presence that invests the film with 'a degree of fascination that has facilitated its widespread circulation' and that the lurid punishment of the envious stepmother rewards the spectator with cathartic pleasures.[301]

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[299] Davis, *Good Girls*, pp. 1–274; Schickel, *Disney Version*; Stone, 'Things', pp. 42–50; Jack Zipes, Walt Disney's Civilizing Mission: From Revolution to Restoration', *Fairy Tales and the Art of Subversion: The Classical Genre for Children and the Process of Civilization*, 2nd edn. London: Routledge, 2006: 193–212.
[300] Sandra M. Gilbert and Susan Gubar, *The Madwoman in the Attic: The Woman Writer and the Nineteenth-Century Literary Imagination*, 2nd edn. London: Yale University Press, 2000: 1–768.
[301] Tatar, *Annotated*, p. 242.

As noted above, Bruno Bettelheim had proposed that the Snow White story enacts an Oedipal drama, wherein the Queen's murderous rage results from her competition with Snow White for the King's attention.[302] This hypothesis, based on a reading of but one edition of the Grimms' literary version, has been contested by a number of scholars of psychoanalysis and of folklore.[303] As mentioned earlier, the absence from the film of any reference to Snow White's father and the introduction of the Prince at the beginning of the story attenuate its Oedipal component. In the Kleinian reading proposed here, the film's motivating psychic crisis is the persecutory fantasy of a daughter concerning the mother's envious wish to attack her (that is, the daughter's) reproductive potential. In this reading, it is the child's fantasy that is being represented in a plot that resonates with the primitive fantasy structure concerning envy that, as set out in Chapter 1, is proposed by Klein as a feature of the mother-daughter relationship. The Queen's demand that the Huntsman bring her Snow White's heart as evidence of the murder represents the daughter's fantasy of her (step)mother's wish to extirpate her generative capacity, the heart standing for love, a prerequisite, at least in fairy stories, for a young woman embarking on marriage and motherhood.

As depicted in Snow White's flight through the forest, the film does not flinch from showing what might happen when ego defences are overwhelmed. The film's emphasis on various reparative activities, the reciprocated concern of

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[302] Bettelheim, *Uses*, p. 200.
[303] Dan Ben-Amos. 'Bettelheim Among the Folklorists', *Psychoanalytic Review* 81.3. 1994: 509–35; Alan Dundes. 'Bruno Bettelheim's Uses of Enchantment and Abuses of Scholarship', *The Journal of American Folklore* 104.411. 1991: 74–83; James W. Heisig. 'Bruno Bettelheim and the Fairy Tales', *Children's Literature* 6, 1997: 93–114; Marina Warner, The Uses of Enchantment', in Duncan Petrie (ed.) *Cinema and the Realms of Enchantment: Lectures, Seminars and Essays by Marina Warner and Others*. London: British Film Institute, 1993: 13–35; Jack Zipes,'On the Use and Abuse of Folk and Fairy Tales with Children: Bruno Bettelheim's Moralist Magic Wand', *Breaking the Magic Spell: Radical Theories of Folk and Fairy Tales*, 2nd edn. Lexington: University of Kentucky Press, 2002: 179–204.

the Dwarfs for Snow White and her resuscitation by love evoke a shift from the paranoid-schizoid position of breakdown during the flight through the forest to the depressive position in which harm caused to others can be acknowledged and repaired. Snow White's story provides the spectator with an opportunity to phantasise about and work through the vicissitudes of parent-child conflict and to think through how one might find a Prince of one's own and live happily ever after. At the same time, there lie buried within the film questions that challenge the fairy tale notion of 'forever after'. These questions, inferred through the film's obsessive concern with cleaning and the elimination of dirt, return explicitly in the animation of Snow White's sleep of death and her miraculous revival therefrom. They also provide an interpretive link to Disney's next animated feature film.

Chapter 4 Time and Punishment: *Pinocchio*

Critical evaluation of *Pinocchio* has focused on the nature of its narrative and its superlative qualities of cinematic spectacle. In a typical example of the literature concerning the film's appearance, Jack Zipes draws attention to the extraordinary camera work, singling out for emphasis the ability of the multiplane camera to zoom in and out and thus to provide a sense of depth for key scenes throughout the film.[304] So far as the animation is concerned, several commentators have considered *Pinocchio* to have been made, just like the badge Jiminy Cricket receives for acting as Pinocchio's conscience, from 18 carat gold.[305] Views about the story the film tells, however, have not been so universally admiring. Taking their cue from the didactic qualities of Collodi's novel about the adventures of a puppet in nineteenth-century Italy, twentieth-century critics expressed their disappointment in the film as a frame of reference for the social construction of childhood in Disney's time.[306]

The novel had pointed to the responsibilities of a peasant boy to work hard to support himself and his family. In a 'pull-yourself-up-by-your-own-bootstraps' fairy tale, the story references the tribulations of a preadolescent boy as he becomes integrated into nineteenth-century industrial society, as indicated by his ability to labour for production.[307] Zipes argues that, in the film version, Disney not only changed the protagonist from a producer into a consumer but also altered the very nature of the fairy-tale film into one which 'sacrifices art to technical innovation; innovation to tradition; stimulation of the imagination to

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[304] Jack Zipes, 'Toward', p. 1–24.
[305] Barrier, *Hollywood*; Schickel, *Disney Version*; Wunderlich and Morrissey, *Pinocchio*.
[306] Lucas, 'Introduction'; Wunderlich, *Pinocchio*; Zipes, *Enchanted*.
[307] Zipes, 'Toward', p. 12.

consumption for distraction'.[308] One needs only think of the scenes of Pinocchio and Lampwick cavorting on Pleasure Island to appreciate the force of these comments. Naarah Sawers does point out, however, that the differing ideologies of the film and the book are best understood in the context of the times in which each was created. Disney's concern, she writes, was 'with the socialisation of American childhood in the 1930s and '40s, a time when America was suffering an economic depression but was also looking towards a future of expansive economic growth during and following World War II'. Sawers argues that the film was part of the process by which children in a capitalist society were taught that 'not only must they consume' - and here Sawers is referring to the extensive merchandising and cross selling that were part of the commercial launch of the film - 'but also that [the children's consumer] choices assemble their sense of self in relation to others'.[309] The words of the song that open the film, 'If your heart is in your dream / No request is too extreme / When you wish upon a star / As dreamers do' become the Disney anthem that spells out the consumerist ideal of permitted passivity, where 'Like a bolt out of the blue / Fate steps in and sees you through'. In this type of ideological analysis, Disney's *Pinocchio* is perceived to have been designed to contribute to the conformity and commodification of American children and to their acceptance of the status quo.[310]

The significance of *Pinocchio* for Walt Disney himself rather than to the development of social attitudes to childhood was emphasised in Richard Schickel's influential account of the film-maker and his films. Writing in the 1960s

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[308] Zipes, 'Toward', p. 9.
[309] Naarah Sawers, 'Building the Perfect Product: The Commodification of Chilhood in Contemporary Fairy Tale Films', in Pauline Greenhill and Sidney Eve Matrix (eds) *Fairy Tale Films: Visions of Ambiguity*. Logan: Utah State University Press, 2010: 42–59), esp. p. 45.
[310] Susan Honeyman, 'Manufactured Agency and the Playthings Who Dream It for Us', *Children's Literature Association Quarterly* 31.2. 2006: 109–31.

(the first edition of his book was published in 1968), Schickel argued that 'one must suspect that Disney found in this story elements of autobiography, since he had himself been denied the normal prerogatives of childhood…such an interpretation suggests why *Pinocchio* is the darkest in hue of all Disney's pictures and the one which, despite its humour, is the most consistently terrifying'.[311] One can only concur with Jack Zipes' comments, albeit on his own extensive quotation from Schickel's biographical excursion: 'It is obviously somewhat misleading (and yet compelling) to identify Disney with Pinocchio and his father with Geppetto'.[312]

As will become apparent, my analysis of *Pinocchio* uncovers a melancholic rumination on mortality, together with a focus on conscience and how it may be supposed to operate. I will also address the psychic significance for the spectator of the morphological transformations that are such a feature of fairy stories and that occur so frequently in *Pinocchio*. My argument is that, through the specific ways in which the transformations are rendered, the film encourages the spectator to move into and out of the realms of fantasy and imagination and, in doing so, to reencounter early psychic processes linked to the generative properties of playing, as theorised by D.W. Winnicott.[313] While the critiques described above have interpreted the technical innovations showcased in *Pinocchio* as a celebration of the positioning of the spectator as consumer, I argue that, at the same time, the film engages the spectator on another level that complicates this reading. I do not dispute the political arguments noted above, rather I argue that *Pinocchio* simultaneously portrays radical and conservative

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[311] Schickel, *Disney Version*, p. 232.
[312] Zipes, *Enchanted*, p. 305.
[313] Donald W. Winnicott, 1971, 'Playing: Creative Activity and the Search for the Self', *Playing and Reality*, Routledge Classics, Abingdon: Routledge, 2005: 71–86.

impulses by introducing themes concerning a morbid preoccupation with time and death as well as a proliferation of images of morphological transformation and parthenogenetic fantasies. *Pinocchio* thus not only foregrounds the spectator as consumer of image, artefact and commodity but also as consumer of time.

Pinocchio had its premiere at the Central Theatre in New York on 7 February 1940. Reviews were favourable and the film won Oscars for best score and best song ('When you wish upon a star'). The domestic response was lukewarm, however, and foreign distribution, which had previously accounted for almost half the company's income, soon collapsed because of the outbreak of war in Europe.[314] The film's popularity has, however, steadily increased over the years and *Pinocchio* has been rereleased for cinematic exhibition on eight occasions, for home entertainment on VHS twice and on DVD 1991. A two-disc digitally-remastered Platinum Edition and a Blu-Ray DVD were released in 2008 as 'Seventieth-Anniversary' Editions and were promoted in a simultaneous cinema release. In the same year, the American Film Institute ranked *Pinocchio* second in its list of the 'Ten Best American Animated Films'.

Disney had registered his intention to make a film of *Pinocchio* as early as 1934 but the story department did not start work on an adaptation until December 1937, with the initial script emphasising Pinocchio's non-human origins and his impudence.[315] Animation began in January 1938 but a month later Walt Disney saw Frank Thomas's images of Pinocchio for the first time and immediately halted production. He was apparently unhappy with both the character and the

[314] Gabler, *Walt Disney*, p. 327.
[315] Wunderlich and Morrissey, *Pinocchio*, p. 88.

representation of Pinocchio, fearing that the versions the team was working on would not gain audience sympathy.[316] Over the subsequent few months, Pinocchio's appearance gradually changed from Thomas' 'skinny, brash, cocky piece of cherry wood' (i.e. one that was close to Mazzanti's drawings) to the version created by Milt Kahl, who is reported to have said: 'I made kind of a cute little boy out of him and Walt loved him'.[317] Pinocchio now took on the appearance of a chubby little boy in a Tyrolean hat. Animation of the opening sequence resumed in September 1938, that is to say, work on the version of *Pinocchio* that was ultimately screened started again, some fifteen months after the production team had made its several visits to the Beaux Arts Theatre to see Franks' stage play (see Chapter 2).

As a result of the success of *Snow White and the Seven Dwarfs*, the studio had become wealthy enough for Walt Disney to continue with the aesthetic challenge of feature films – hence the developments to the multiplane camera and its extensive use throughout *Pinocchio*. In contrast to *Snow White and the Seven Dwarfs*, however, many scenes in *Pinocchio* were rotoscoped.[318] A new department at the studio built models for the animators of all the characters and some of the inanimate objects.[319] A model of the birdcage in which Pinocchio is incarcerated in Stromboli's caravan was, for example, filmed in live action and the rotoscoped drawings then filmed in six planes.[320] It is reported that as many as twenty-seven colours were used in the animation of Jiminy Cricket.[321] The studio developed a system of applying paint that combined dry and air brushing to

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[316] Barrier, *Hollywood*, p. 237.
[317] Barrier, *Hollywood*, p. 239.
[318] Gabler, *Walt Disney*, p. 306.
[319] Barrier, *Hollywood*, p. 257.
[320] Gabler, *Walt Disney*, p. 306.
[321] Watts, *Magic*, p. 106.

create a sense of roundness, especially of the cheeks (see, for example, Figure 4.2), so that at one stage there were twenty women employed in the airbrushing department alone.[322]

Walt Disney's determination to perfect the product proved expensive, *Pinocchio's* negative cost $2.6 million – $1 million more than that of *Snow White and the Seven Dwarfs,* despite the film's taking half as long to produce. By the time it was finished, more than a thousand people were employed by the studio in, to quote the words of film critic Roger Ebert, a 'collective creative epiphany'.[323] The film's premiere had been intended for Christmas 1939 but various delays caused its opening to be deferred until February 1940. It was preceded by several months of promotion, including publication of at least seven different book versions of the film between October and December 1939 and ten further versions of the book throughout 1940.[324]

Pinocchio opens with 'When you wish upon a star' being sung as the credits give way to the opening image of a leather-bound book, whose title is lit by a spotlight (Table 2.5).[325] The words of this song

> When you wish upon a star,
> Makes no difference who you are
> Anything your heart desires will come to you.
> If your heart is in your dreams
> No wish is too extreme.

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[322] Gabler, *Walt Disney*, p. 306.
[323] Barrier, *Hollywood*, p. 262. Roger Ebert, 'Pinocchio', *The Great Movies*. New York: Broadway Books, 2002: 369–73.
[324] Wunderlich and Morrissey, *Pinocchio*, p. 94.
[325] A shot analysis of the film's opening segment is given in Table 2.1, Appendix 2.

espouse a remarkably optimistic aspiration but, as noted, the song was awarded an Oscar in 1941, indicating how well it was seen to reflect contemporary hopes.

Upwards and to the left in the film's opening shot two other leather-bound volumes are visible (*Alice in Wonderland* and *Peter Pan*, animated versions of which would be produced by Disney respectively in 1951 and 1953). A candle holder on the left, on the right spectacles for an adult and a quill-containing inkwell, signal the story's origin in a book for people who are literate because, unlike Pinocchio, they have been to school. The spotlight tilts upward to reveal that the singer is the minute Jiminy Cricket, sitting astride the stem of a pipe. In a direct reference to Charles Dickens' Christmas story, *The Cricket on the Hearth,* Jiminy introduces himself as an itinerant wanderer ('I'm just a cricket singing my way from hearth to hearth').[326] He says the story he is about to tell ('One night a long time ago') is the reason he now believes that dreams can come true.

We enter the story through the frame of an open page of the book. A complex multiplane shot over the village at night leads into a lighted window, through which we and Jiminy view Geppetto's shop. The parallels with the opening of *Snow White and the Seven Dwarfs* are striking: the narratives of both of the films are double-framed by a song and both open with a shot of a leather-bound book with the title inscribed in an imitation italic script. *Pinocchio,* though, features a picture book rather than one with text. In both films, outside space is traversed by a multiplane zoom, followed by entry to an interior space. As striking as are the similarities of the films' openings, so too are the differences. In *Snow*

[326] Charles Dickens, 1845 'The Cricket on the Hearth: A Fairy Tale of Home', in Robert Douglas-Fairhurst (ed.) *A Christmas Carol and Other Christmas Books*. Oxford: Oxford University Press, 2006: 163–242). The Cricket on the Hearth is novella in which a cricket acts as a guardian angel to two families, the head of one of which is an old toymaker. Dickens's story has been filmed several times; the version most proximate in time to Pinocchio was directed by Lorrimer Johnston in 1923.

White and the Seven Dwarfs, we enter the emotionally cold and angular confines of the Queen's castle, from which it will become clear that the eponymous protagonist has been excluded. In *Pinocchio*, our entry is into a place of warmth, softness and multiple curves which, we soon discover, is the home of Geppetto and his 'family' and in which Pinocchio will soon appear. The greater complexity of the mobile framing in *Pinocchio* – an oblique pan and zoom out as we swoop over the town and the six camera tilts within the forward zoom with which, now adopting Jiminy's point-of-view, we approach the window of Geppetto's shop – illustrates both the advances in the technology of animation achieved in the short interval between the two films being made and Walt Disney's determination to exploit them.

Jiminy surveys Geppetto's shop and says 'you never saw such a place'. an invitation to contemplate the spectacle of one of the film's extra-narratively episodes of virtuoso animation to which attention has been drawn in Chapter 2. The camera slowly pans across a room containing a rocking chair, two stools and twelve toys, and there follows a cut to a static shot of nine clocks ('all carved out of wood'), (Figure 4.1) each ticking and several with swinging pendulums,

Figure 4. 1 *Pinocchio*: Some of the numerous clocks that can be seen on the wall in Geppetto's house.

then to a shot of six musical boxes ('each one a work of art') and then to a shot of three diagonal shelves on which there are depicted no fewer than *twenty-seven* different toys. Some overt reasons for this type of pictorial extravagance have been suggested earlier but, through the process described in psychoanalytic theory as 'reaction formation', one may also consider this mise-en-scène in relation to unconscious fantasies concerning mortality and death, with which I will argue, the film is engaging.[327] Geppetto's home is, emotionally, a heavily invested setting to which the story frequently returns (viz. in Segments B, C, G and I) and from which Pinocchio leaves on each of his quests, on two occasions completely on his own. The cornucopia of objects depicted resonates with Michael Balint's description of an 'ocnophilic' internal world, which is to say, a world based on the unconscious phantasy that firm internalised objects are reliable and kind, that they will always be there and will never mind if one clings to them for comfort and support.[328] Outside, however, dangerous and unpredictable hazards (for example, the mischievous recurrent antics of Honest John and Gideon) threaten the limitless and friendly expanses of the puppet's love for his father.

There follows a cut to the first view of the marionette that will become Pinocchio. Jiminy's examination of its lifeless head is interrupted by Geppetto, together with Figaro, descending the stairs, picking up his brush and painting the

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[327] Reaction formation is a psychoanalytic term that refers to a person holding an attitude that is diametrically opposed to a repressed wish (Laplanche and Pontalis, *Language,* p. 376). While Laplanche and Pontalis give as an example of the process the symptom of bashfulness countering exhibitionist tendencies, a more intriguing example in relation to Chapter 3 of this thesis is their rhetorical question: 'Does not the housewife obsessed with cleanliness end up by concentrating her whole existence on dust and dirt?' In the present instance, the process of reaction formation suggests that the depiction of such a plethora of warm and friendly objects may conceal a fear of their absence and what that absence might imply.

[328] Michael Balint, *Thrills & Regressions*. London: Karnac Books, 1959: 1–148, esp. p. 68.

finishing touches to the marionette's face. As Geppetto paints the as yet unnamed marionette (Figure 4.2), we are being shown the process used to make the very film we are watching. Indeed, what we see here, as in the previously described view of Geppetto's workshop and in the ensuing dance, is the prefilmic world of animation, in which carved mechanical figures are painted and made to move, just as drawn figures are painted and made to move on the screen.

Figure 4. 2 *Pinocchio*. Geppetto paints the finishing touches to the marionette that is about to become Pinocchio. The mouth we see him painting will soon be imbued with the power of speech.

Pinocchio may therefore be regarded as a metafilm, a particular form of metafiction, in which the medium in which a story is told becomes part of the story itself. In metafiction the spectator is invited to engage with the diegesis and at the same time with the materiality of the medium in which it is expressed.[329] One consequence of this simultaneous engagement is to place the spectator into a position of active awareness of the structure of her/his spectatorship so that, through the alienation effect of the metafiction, s/he becomes more than a

[329] *Tristram Shandy* is an example of metafiction in a novel (Laurence Sterne, 1759, *The Life and Opinions of Tristram Shandy, Gentleman*, edited by Melvyn New and Joan New. London: Penguin Books, 2003: 1–720). Examples of metafilms include *Man with a Movie Camera* (Dziga Vertov 1929); *Persona* (Ingmar Bergman 1966); *Purple Rose of Cairo* (Woody Allen 1985) and *Adaptation* (Spike Jonze 2002).

passive consumer of image. In the case of *Pinocchio*, the self-reflexivity of the metafilm is underlined in the film's abundant mise-en-scène. In this respect, I argue that it is the plethora of clocks that is most arresting. In a shot similar to the one illustrated in Figure 4.1, ten clocks, all set to the same time, are shown together ticking away on a wall (nine had been shown in the earlier shot), each one springing into complex and different actions at the turn of the hour. Eight of the clocks are then shown separately in close-ups which detail the different actions each makes to mark the hour. We are also shown Geppetto's pocket watch in close-up, which, in a comical moment of self-reflexivity, he consults in order to check that all of the other clocks have chimed on time.

In psychoanalytic terms, such excess provokes the question of whether, through the process of reaction formation noted earlier, a lack is being concealed; and here Freud's concept of disavowal is pertinent. As noted in Chapter 1, this term was originally proposed to describe the child's reaction to the reality of female phallic lack[330] but it is now understood to reference more widely situations that are too threatening to confront and yet too important to ignore.[331] The compromise that is disavowal is to deny and to acknowledge reality simultaneously – to know and not to know at the very same time. Akin to the 'willing suspension of disbelief', disavowal is a key element of the everyday experience of cinema.[332] In *Pinocchio*, the motif of the highly-decorated ticking clocks suggests that it is their insistent demonstration, both visually and through the busy and intrusive soundtrack, of the passage of time, containing within it the

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[330] Freud, 'Fetishism', pp. 93–9.
[331] Stanley Cohen, *States of Denial. Knowing about Atrocities and Suffering*. Cambridge: Polity Press, 2001: 1–344, esp. p. 27.
[332] Not only is the process enjoyable but failing to disavow one's cinematic experience can be disturbing, as demonstrated in Woody Allen's *The Purple Rose of Cairo* (1985) by the horror of the people in the cinema portrayed in the film at Baxter's leaving the screen in black and white and entering their space in the auditorium in colour.

acknowledgement of ageing and ultimately therefore of death, that is what is being disavowed. It is therefore in the profusion of extra-narrative excess that the psychic structure of disavowal permits the film's preoccupation with time and death to be concealed and to be revealed at one and the same time. If this reasoning is accepted, the issue arises as to the agenda of the metafilm that is *Pinocchio*. I argue that it is significant that it is immediately after Jiminy Cricket has stopped the clocks (that is, after the passage of time and therefore the process of ageing has been magically arrested) that Pinocchio receives the gift of life. Moreover, it is not until Pinocchio has satisfied the Blue Fairy's demands, and consequently been re animated as a 'real boy', that Geppetto restarts the clocks – that is, he magically restarts time and so accepts the reality of the passage of time and therefore the inevitability of ageing and ultimately of death.

In terms of the film's running time, the clocks, the importance of which is so emphasised by the many and varied images we are shown of them, are stopped for seventy of the eighty-five minutes of screen time. One answer then to the question of what is the agenda of this metafilm is that it expresses the omnipotent fantasy, implicit in Jiminy's framing song and explicit in Geppetto's wish that the puppet he has created might become a real boy, that one might be able to transcend the limitations imposed by the passage of time (one's own mortality), and in turn create life oneself on one's own – as, indeed, Geppetto has done by carving and painting Pinocchio and Disney has done by animating and filming *Pinocchio.* The film therefore invites the spectator to contemplate the inevitability of death while at the same time offering a fantasy of escaping it.

Geppetto names the marionette Pinocchio but neither Figaro nor Cleo approve. 'Well, we'll leave it to little woodenhead' says Geppetto, pulling the string that makes Pinocchio nod. In so doing he provokes the question –

addressed below in relation to Pinocchio's appearance on Stromboli's stage – of who actually does pull the strings that elicit agreement. Geppetto dances the marionette around his workshop and introduces him to his 'family' (Figaro and Cleo) but the numerous clocks then spring into action to indicate that it is bedtime. As they all settle down, Geppetto asks Figaro to open the window and, upon seeing the 'Wishing Star', makes his wish ('that my little Pinocchio might be a real boy') and falls asleep. There follows a montage of eleven shots, together lasting only fifty seconds of screen time, in which the numerous clocks tick at ever increasing volume, as does the sound of each particle of sand we see falling in the hourglass, all intercut with images of Geppetto snoring. In a classic Disney gag, Jiminy shouts 'Quiet!' and the clocks instantly fall silent and stop. 'After all, enough's enough' he opines, only to witness the arrival through the open window of the Wishing Star, quickly transformed into the Blue Fairy. The Fairy says to Pinocchio

> 'Little puppet made of pine,
> Wake! The gift of life is thine.'

She touches him with her wand. He radiates Disney dazzle, loses his marionette strings and acquires the gift of life.

Pinocchio has been animated as a reward to Geppetto because, says the Blue Fairy, 'you have given so much happiness to others, you deserve to have your wish come true!' Being magically brought to life is a culturally persistent trope, reminiscent of Venus' animation of Pygmalion's statue, the return to life of Hermione in 'A Winter's Tale' or of the myths of Aphrodite, who arose fully formed from the sea and of Athena, who was born from Zeus' head – that is, the fantasy of a daughter created as her father's brain-child. For others the myth of a birth without a mother will bring to mind the biblical account of the very origin of man.

Thus Genesis, Chapter 2, verse 7 records that God, having formed Adam out of 'the dust of the ground,' then 'breathed into his nostrils the breath of life' causing him to 'become a living soul'. In early cinema, the fantasy is represented in the Weimar expressionist film *Der Golem* (Carl Boese and Paul Wegener 1920)[333] although a more familiar example is James Whale's *Frankenstein* (1931), in which the parentless Monster is animated by exposing the body 'that has never lived' to the massive energy of nature that develops in a thunderstorm. This fantasy of parthenogenesis, the fulfilment of Geppetto's wish to create by himself a son of his own, may be interpreted as expressing man's envy of women's procreative ability,[334] a misogynistic notion in keeping with the patriarchal attitudes noted earlier in both literary fairy tales and in the Disney versions of them.

The Blue Fairy's answer to Pinocchio's question, 'Am I a real boy?' is that to become one he must prove himself 'brave, truthful and unselfish' and use his conscience to 'choose between right and wrong'. Pinocchio is a marionette and conscience is, after all, a uniquely human attribute. Moreover, according to classical psychoanalytical theory, conscience is one of the functions of the superego, itself described as the heir to the Oedipus complex because it is constituted through internalisation of parental prohibitions and demands.[335] Pinocchio has no mother, nor indeed, notwithstanding the suggestions made

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[333] In the film of *Der Golem* 1920, a Rabbi creates a monster out of clay – the Golem – in order to help to save the Jews from being thrown out of their homes in the ghetto of sixteenth-century Prague. The monster is animated by a demon spirit and an amulet placed on its chest. The Golem saves the emperor's life, the Jews are allowed to remain but the monster is later possessed by a demon and rampages through the streets. The Golem is eventually destroyed by a child removing the magic amulet.
[334] Dundes, 'Psychoanalytic Study of Folklore', p.19.
[335] The other two functions of the superego are self-observation and the formation of ideals (Laplanche and Pontalis, *Language,* pp.435–8).

about the maternal aspects of Geppetto, Jiminy Cricket and the Blue Fairy,[336] any mother-figures, so in psychoanalytical terms one cannot envisage his passing through an Oedipal stage and thereby developing a superego. Jiminy Cricket volunteers for the job of acting as his conscience and his offer is immediately accepted by the Blue Fairy, who quietly ignores the paradox of awarding him the task despite his not being human. The effect of the externalisation of the Blue Fairy's demands is to give the spectator an opportunity to see what is normally hidden. As for Jiminy's reward for this selfless deed, he is dubbed Lord High Keeper of the Knowledge of Right and Wrong, knighted and given a new suit.[337]

In embracing his new role, Jiminy uses a song to teach Pinocchio how to behave ('Give a little whistle and always let your conscience [i.e. Jiminy] be your guide'). After yet more cartoon-like gags, Pinocchio tells Geppetto what happened and that someday he will be a real boy. Geppetto celebrates by switching on numerous musical boxes (only a few of which we have seen before) and dances again with Pinocchio, this time as a puppet without strings. While playing with a lighted candle, Pinocchio's finger painlessly catches fire, indicating his present intermediate status, between a wooden puppet who feels no pain and a boy who can dance and talk.

A virtuoso multiplane shot, coordinated with music and sounds of children playing, depicts day breaking in the village the following morning. Pinocchio leaves home to go to school with a book and an apple, passing Honest John and Gideon walking in the opposite direction. In response to his announcement that he is going to school, Honest John replies, 'Then you haven't heard of the easy

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[336] Zipes, 'Toward', p. 16. Heisig, 'Pinocchio', pp. 23–35.
[337] Contrast the remarks of Rosenbaum, cited earlier, on the foreignness of the main characters: a knighthood is, of course, specifically English, the office, pure Gilbert and Sullivan.

road to success'.[338] Pinocchio succumbs instantly to the deception and, despite Jiminy's admonitions, they leave the road to school for the one to Stromboli's theatre. In the passage depicting Jiminy's attempt to catch up with the Fox and Cat as they and Pinocchio go down this road (Figure 4.3), the characters are depicted as shadows in the way that had so engaged Sergei Eisenstein when he saw *Snow White and the Seven Dwarfs.*. The exaggeration of perspective reflects the disparity between the appeal of Honest John's invitation to a life of celebrity and Jiminy's invitation to continue on the way to school. We are therefore not surprised to find ourselves now watching Pinocchio performing at Stromboli's theatre.

Figure 4. 3 *Pinocchio.* Pinocchio chases after Honest John and Gideon. Note the characteristic use of shadow.

As Pinocchio dances, his song draws attention to the way he has shed the strings that the other marionettes need to enact their movements – something that Stromboli boasts 'you will absolutely not believe.'

'I got no strings to hold me down,
To make me fret and make me frown.

[338] Honest John does the talking and singing because Gideon is dumb. Characters in the films under consideration here who do not speak are discussed in Chapters 2 and 5.

I had strings but now I'm free-
There are no strings on me!'

His hinged knees, however, remain readily visible (Figure 4.4). Pinocchio is a marionette, signalled by the way he is drawn, and at the same time, not a marionette, signalled by the way he acts. The illusion is so effective for Pinocchio's spectators and, indeed, for Disney's that Stromboli and Disney both exploit it commercially, the former in the live theatre depicted in the animated film of the latter. Neither, however, rewards the boy who is not a boy, the marionette that is not a marionette, the puppet that is not a puppet but a paradoxical creation that provokes fantasies about the very nature of being. As discussed in Chapter 1, these illusions may be considered transitional phenomena, rewarding the spectator by opening up her/his potential space to fantasy and the pleasures of animation and illusion.

Figure 4. 4 *Pinocchio*: On the left, the Cossack marionettes need their strings to dance. On the right, Pinocchio needs no strings but he does still have hinges on his knees.

Who then does pull the strings from which Pinocchio claims he has been freed? We may note first the appearance of man-as-puppet as God's creation, Adam, as mentioned earlier. Plato describes man 'as one who is pulled in various

directions by the strings of his passions, likes and dislikes'.[339] One of the implications of the notion of ideology as the agent that interpellates our subjectivity is that one's passions, likes and dislikes are seen as implicated in the dominant ideology of the society in which one lives.[340] The metafilmic nature of *Pinocchio* embodies a link between Geppetto as creator and controller of Pinocchio and Disney as creator and controller of Geppetto. Or, to put the thought another way, while Pinocchio's strings are pulled by Geppetto, Geppetto's 'strings' are pulled by Walt Disney and the Disney studio. Walt Disney's 'strings, and indeed those of his studio, are, in turn, pulled by the ideology of their time and place. So while Pinocchio may claim to be free of the strings that make him fret and make him frown, his creators have no such freedom. *Pinocchio* remains a child of the values formed during the American Depression and its immediate aftermath,[341] a point that chimes with Zipes' comment that '[*Pinocchio*] is also a story of punishment and conformity, a tale in which a puppet without strings has strings of social constraint attached so that he will not go his own way but will respond to the pulls of superior forces'.[342]

Observing Pinocchio's success and the way his advice has been ignored, Jiminy walks away disconsolately, remarking, 'What does an actor want with a conscience anyway?' The next plot segment opens with Geppetto setting out in the rain on the first of his searches for Pinocchio. Stromboli has imprisoned Pinocchio in a birdcage where he is discovered by Jiminy who had come to wish him luck in his new career. Jiminy is unable to unlock the padlock. The Blue Fairy arrives unbidden and in answer to her question 'Why didn't you go to school?'

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[339] 'whereas he should let himself be guided (that is, pulled) by the golden cord of reason, called by us the common law of state' (Plato, Laws 1: 644, quoted in Perella).
[340] Althusser, 'Ideology', pp. 121–73.
[341] Watts, *Magic,* p. 102.
[342] Zipes, 'Toward', p.11

Pinocchio tells the first of five lies, in response to each of which his nose grows longer. Eventually it sprouts branches and a bird's nest that contains two birds together with Jiminy Cricket, the conscience he has ignored. Pinocchio's lies are so egregious that the petals and leaves fall off, the birds fly away and Jiminy is left alone in the nest to plead with the Blue Fairy for another chance. 'You see, Pinocchio,' the Blue Fairy replies,

> 'A boy who won't be good
> Might just as well be made of wood.'

He promises to be good and, as the Blue Fairy unlocks the padlock, she tells Pinocchio that this is the last time she will help him.

Unsurprisingly, Pinocchio's nose has generated speculation about phallic symbolism.[343] In this interpretation, the embarrassing enlargement of Pinocchio's nose might be considered a hint at other transgressions (as, for example, argued in the lively reading by Jennifer Stone).[344] While Pinocchio's nose does have symbolic potential, as had, Freud considered, the shiny nose of his English patient,[345] an alternative view, engagingly expressed by Tristram Shandy is perhaps also apposite here ('Where the word *Nose* occurs, – I declare by that word I mean a nose, and nothing more or less').[346] On the other hand, a more literal approach would emphasise that Pinocchio's enlarging nose signifies the failure of his lies, the axiom that 'a lie is as plain as the nose on your face', that

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[343] See Forgacs for a strongly argued account in favour of the phallic symbolism of Pinocchio's nose (Forgacs, *Disney Animation*).
[344] Jennifer Stone, 'Pinocchio and Pinocchiology', *American Imago* 51.3. 1994: 329–42.
[345] Freud's patient had been brought up in England but had gone to Germany where apparently he had almost completely forgotten his native language. The fetish, wrote Freud, 'needed to be read not in German but in English; the shine [Glanz] on the nose, was actually a 'glance at the nose', so the fetish was the nose', which, like all fetishes, Freud considered was a 'substitute for the woman's (mother's) phallus, which the little boy [had] believed in and which…he does not want to give up. Freud, 'Fetishism', p. 95.
[346] Sterne, *Life*, p. 193.

long and lengthening noses are apparent for all to see and the relationship of lies to embarrassment and shame. Ann Lawson Lucas considers the notion of Pinocchio's nose as a phallic symbol derives from 'an inadequate knowledge of Italian proverbial expressions linking lies and noses' and likens the effect of the enlargement to the 'physical fright [Alice experiences] when she tries the Drink-Me bottle; once she shrinks and once she grows to fill the room'.[347] Lucas argues that, for both Alice and Pinocchio, what is represented is the ordinary fear of being found out or of being trapped. The paradox here is that the untruths revealed by Pinocchio's enlarging wooden nose remind us of the truth of Pinocchio's in-between state – that he is not yet human but a boy who is not a boy at the same time that he is a puppet that is not a puppet. In fact, the change to Pinocchio's nose is but one of numerous transformations that occur in the film (see Table 4.1) and, while ludicrous and therefore embarrassing, it is not necessarily the most significant or distressing. The dramatic, explicit and distressing metamorphoses of Lampwick and of the other boys, together with their ghastly fate in salt mines or circuses, is, however, even more arresting and indeed such a severe punishment that it suggests a motivation that exceeds a simple conscious warning against truancy. As Freud proposed in *Civilization and its Discontents*, our sense of guilt has a twofold source: the first is external, as a result of transgressing authority (for example, by disobeying paternal instructions about going to school) and the second is internal, as a result of ignoring the dictates of conscience. The solution to the former is renunciation but the second incurs punishment because the persistence of forbidden thoughts cannot be hidden from – or forgiven by – the superego.[348] Freud proposed, moreover, that the stronger the repression, the greater the sense of guilt and therefore the more

[347]Lucas, 'Introduction', p. xlv.
[348] Freud, 'Civilization', pp. 1–82, esp. p. 73.

severe the punishment meted out by the superego. From this perspective, the transformation of Lampwick and the other boys into donkeys represents a profound demonstration of the consequences of ignoring one's conscience and allowing unconscious drives to go uncontrolled.

Table 4.1 Magical transformations in *Pinocchio*

Pinocchio: from marionette to animated puppet wooden nose enlarges and turns into a tree branch partial transformation into donkey (ears, tail, voice) from wooden puppet into a 'real boy'
Jiminy Cricket: from insect to Sir Jiminy, Keeper of the Conscience
Lampwick: from naughty boy into donkey
Boys on Pleasure Island: from naughty boys into donkeys
Wishing Star: into Blue Fairy

The morphological fluidity implied by the film's eight transformations shown in Table 4.1 may be seen as exemplifying transitional states. These transformations invite the spectator to explore the potential space between the different forms the characters inhabit. The reward for the spectator is the preoccupation of fantasy and the enhancement of autonomy offered by entering the experience of transitional phenomena.

In the Red Lobster Inn, Honest John and Gideon listen to the Coachman's offer to involve them in his plan to collect 'disobedient [boys], what play hookey from school' and take them to Pleasure Island from where, he says, 'they never come back as boys'. Honest John and Gideon catch up with Pinocchio on his way home and, in a parody of a medical consultation, persuade him that he has

an allergy that can only be cured by a holiday on Pleasure Island. Pinocchio is deceived for a second time and by the same villains as before. Perhaps the first deception, when they had offered Pinocchio instant celebrity by performing in Stromboli's theatre, made an unconscious appeal to the spectators' narcissism, through identification with Pinocchio and his unquestioning embrace of the offer of an actor's exciting life. The second deception, concerning Pinocchio's 'allergy', appears less psychologically plausible and offers more of a satirical cinematic 'attraction'. Nonetheless, with tricks of this sort, the wily pair in effect make Pinocchio into a puppet whose strings they are manipulating.

The coach, containing a crowd of boys together with Pinocchio and his new friend Lampwick, departs at midnight. The boys transfer to a paddle steamer, from which they disembark to run through the gates into Pleasure Island. Here they are offered the opportunity to be gluttons, pick fights, have all the cigars, cigarettes and chewing tobacco they want, join in the destruction of a model home, desecrate works of art and smash windows. A disembodied voice outside the home being ransacked asserts 'There's no one here to stop you', promising freedom from the constraints of society, conscience, of ego and of superego, and then, '*She's* all yours' (my emphasis), offering a feminine, perhaps maternal object (that is, a home) as the proposed target for the boys' aggression.[349] The feminine/maternal nature of the target of destruction, further emphasised by the six bare-bosomed caryatids that support its balcony, resonates with Klein's proposal of projection of aggression onto the mother as an early mechanism of defence of the ego against the destructiveness of the death drive.

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[349] It is of note that the work of art (a picture of the Mona Lisa) chosen by Lampwick to desecrate is also female.

The Coachman, whip in hand, instructs some troll-like creatures to close the gates of Pleasure Island, and a forlorn Jiminy Cricket searches for Pinocchio through a now deserted Pleasure Island ('the place is like a graveyard', he says). Jiminy arrives in the bar in which Lampwick is playing pool and admonishes Pinocchio but is dismissed by both boys. Jiminy attempts to leave Pleasure Island, only to witness the Coachman ordering the trolls to force a legion of small donkeys into crates labelled 'sold to the salt mines' and 'sold to the circus'. These, Jiminy realises, are boys who have been transformed into donkeys. One, whose transformation is not yet complete, is thrown back into a cave with six others who plead to be allowed to go back to their Mamas. 'You boys have had your fun, now pay for it!' shouts the Coachman: this shot of the boys cowering in the Coachman's shadow is composed in the same way as the one in *Snow White and the Seven Dwarfs* that depicts the Huntsman threatening Snow White. Jiminy becomes aware of Pinocchio's danger and rushes back to find him.

Back in the pool room, Lampwick is being transformed into a donkey, first the ears, then a tail, then a braying voice and finally his hands change into hooves. Lampwick's metamorphosis is shown directly, in reflection and in silhouette (Figure 4.5). These repeated frightening images offer a striking contrast to the depiction of the Queen's transformation in *Snow White and the Seven Dwarfs,* illustrated as that is by the synecdoche of her gnarled hands and fingers. The fear evoked by Lampwick's transformation is maintained by the changes that also occur to Pinocchio, who develops a bray, donkey's ears and a tail before he and Jiminy manage to escape from the bar. They run up to a cliff overlooking the sea into which they leap and from which they emerge onto the shore.

Figure 4. 5 *Pinocchio*: on the left, Lampwick's transformation seen directly and in reflection. The two images of Lampwick add to the sense of depth achieved. On the right, the transformation is seen as a shadow.

Jiminy and Pinocchio return to Geppetto's house, only to find it in darkness. The windows are opaque and, when Jiminy wipes the dust away to look inside, they find it deserted and full of cobwebs. A white dove in its own glow of light (we may assume, therefore, a magical emissary of the Blue Fairy) arrives bearing a letter. They discover from it that Geppetto has again left to look for Pinocchio (having earlier searched for him when he had been abducted by Stromboli), has been swallowed by a whale named Monstro and is alive inside the whale at the bottom of the sea. Pinocchio, with Jiminy trailing after him, immediately sets off on his quest to find Geppetto, his 'father'.

The lifelessness of Geppetto's house recapitulates the emptiness of Pleasure Island that Jiminy had found when searching for Pinocchio. The contrast with previous images of the two locations is striking and, one might surmise, illustrates the deadly consequences that Disney depicts as flowing from the transgression of parental and societal rules of behaviour. The dusty opaque windows outside and the cobwebs inside Geppetto's house do, however, exaggerate the amount of story time that has actually passed, since it can be inferred that Pinocchio has been away for thirty-six hours at most. This might,

perhaps, be considered a ‘cinematic parapraxis’, read as symptomatic of the obsession with time mentioned earlier.[350]

Pinocchio ties himself to a rock and he and Jiminy jump from a high cliff into the sea. Their search for the whale is temporarily extended by remarkable ‘underwater’ animation, involving improbabilities a colourful and elaborate mise-en-scène, including gags (for example, Jiminy in a bubble that fills up as we watch) and illogicalities (when characters speak, bubbles come out of their mouths – and they sound as if they are underwater – but they never need to breathe in). When Monstro is sighted, a slow zoom towards his mouth, followed by a cut to the space inside the whale (the type of shot used in the opening of *Snow White and the Seven Dwarfs* and, in Pinocchio, in the approach to Geppetto’s workshop) reveals Geppetto on the deck of his raft next to Figaro. Geppetto and Figaro sneeze. The whale awakens and chases and swallows a shoal of tuna fish along with Pinocchio. Geppetto enthusiastically hauls in the tuna and Pinocchio lands up with the fish. ‘Don’t bother me now, Pinocchio’, Geppetto says, does a cartoon-type double-take and embraces...a tuna. They do find and hug each other. Pinocchio sneezes and, as Geppetto wraps him in a blanket, he notices the donkey ears. Pinocchio shows him his tail, involuntarily brays and only avoids telling a lie about his appearance by dissembling.

Pinocchio hits upon the idea of a making a fire with smoke to make Monstro sneeze and so release them. They make one, Monstro does sneeze

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[350] A parapraxis is an act which the subject is normally able to perform successfully (in this case to maintain a convincing cinematic continuity) but whose goal is not attained. It is commonly attributed by the subject to a lapse of concentration or to happenstance. In Freud’s estimation, it actually results from the action of psychic material that, while censored by the super ego because it is unacceptable, is only partly repressed (Sigmund Freud, 1901, *The Psychopathology of Everyday Life*, ed. Paul Keegan. London: Penguin. 2002: 1–265).

and, together with Cleo in her bowl and with Figaro, they succeed in getting out upon their raft just as Jiminy contrives to get into the whale.[351] Monstro leaps into the air, then dives underwater and comes up under them, throwing them all into the sea. In a second attack, Monstro clips their raft with his tail and smashes it, as illustrated in Figure 4.6, which also shows how the enormous size of Monstro has been emphasised by the way most of his body has to be inferred as it is outside the frame of the film. Roger Ebert observed that early animators tended

Figure 4. 6 *Pinocchio*: Monstro dives through the air into the sea. His enormous size is emphasised by most of his body being outside the film frame.

to 'stay within the frame' and so Disney's inferring the occupation of off-screen space by a threatening object in *Pinocchio* and, Ebert writes, to a lesser extent in the later film *Fantasia*, while common enough in live action films of the period,

[351] Sneezing is a Disney trope, depicted on numerous occasions in this film, in *Snow White and the Seven Dwarfs* (not least in the name and characteristic of one of the Dwarfs) and in *Dumbo*, in which film it is a sneeze that initiates the narrative. In these films, sneezing occurs to so many characters in so many situations that it is hard to conjure a single symbolic formulation. It may be that it is simply used in these films as a narrative device, a *deus ex machina*, as with the sneeze that causes the sudden appearance of Dumbo's enormous ears. Depicting a sneeze does, though, also provide the animator with a means of expressing an aspect of a character's interiority by depicting the explosive release of internal tension.

was innovatory for animated films.[352] Breaching the frame also has psychic implications for the spectator because the reassuring and 'containing' contextualisation of the cinematic frame is absent, and the spectator's sense of control over the image is lost.

The passengers are thrown into the sea again, from which Pinocchio rescues Geppetto. Pinocchio's escape from the sea creature is addressed by Nicolas Perella, who argues that in Collodi's novel it figures as a metaphor for rebirth from a maternal object.[353] Monstro's extraordinary aggression as the protagonists escape might be read more as a prelude to the story's dramatic climax, although both suggestions are plausible for the film. Geppetto lies motionless on the sand as Cleo in her bowl, Figaro on a piece of wood and eventually Jiminy Cricket in a bottle, are washed onto the beach. Jiminy calls to Pinocchio and there is a whip-zoom to his point-of-view of Pinocchio lying drowned in the shallow water. We may note the contrast between Pinocchio appearing drowned in this scene compared with his earlier ability to walk under water in his search for Geppetto, a paradoxical illusion that seems to have gone unremarked in all previous the critiques of the film that I have read. A fade to black takes us to Pinocchio laid out on Geppetto's bed, the zoom out revealing Geppetto kneeling by his body, in a reprise of the image of the Prince mourning Snow White (Figure 4.7), a reprise, that is, of Disney's animation of death. In each case, the scene is followed immediately by the protagonists' miraculous revival.

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[352] Ebert, 'Pinocchio', p. 370. The topic of off-screen space (the space that is part of a film scene but not visible on screen) is discussed in Chapter 3.
[353] Perella, 'An Essay', p 40.

Figure 4. 7 On the left: ***Pinocchio*****:** Pinocchio is mourned by his father**.** On the right**:** ***Snow White and the Seven Dwarfs*****:** Snow White is mourned by the Prince

We hear from off screen the Blue Fairy's mantra 'Prove yourself brave, truthful and unselfish and some day you will be a real boy. Awake Pinocchio, awake', as rings of fairy light emanate from Pinocchio's chest and he is transformed into a real boy, with normal ears, no hinges on his knees, four fingers on his hands and a human face. As soon as Geppetto realises that Pinocchio is 'alive and... a real boy,' he pushes the pendulums to restart the clocks on the wall. Intriguingly, when the clocks were stopped in the earlier scene they read twelve o'clock, but the seven shown now read nine o'clock, perhaps another parapraxis of time keeping. Whatever the explanation, the progress of time has resumed as a result of the very first response Geppetto makes to the fulfilment of his original wish. The musical boxes are restarted too. Jiminy leaves the scene by way of the windowsill, whereupon he is bathed in light and Disney dazzle magically reveals he has received his reward of an 18 carat gold badge. The film ends with a multiplane zoom out from the Wishing Star to give a view over the village at night, to the sound of 'When you wish upon a star'.

Disney's *Pinocchio* embodies two sets of themes. The first is overt and contained within the narrative: the didactic lessons carried there are that boys should do as their parents say, go to school and tell the truth. The second is covert and concealed within the film's narrative detours and in its highly elaborated mise-en-scène. The extraordinary, indeed excessive, focus on clocks in *Pinocchio,* their being stopped from working for most of the film, alongside the film's temporal parapraxes, point to a repressed fear of the imminence of death, a trope that resurfaces yet again at the climax of both *Pinocchio* and *Snow White and the Seven Dwarfs* in the animation of their protagonists' death and their magical re-animation. The metafilmic nature of *Pinocchio* presents the hope that one might transcend the limitations imposed by the passing of time and create, or at least extend, life one's self. This hope embodies nothing less than the ambition of creativity, that through one's creations one might leave a mark on the world that endures despite the inevitability of ultimately having to leave it.

Notwithstanding such an optimistic interpretation, Richard Schickel's remark, quoted at the beginning of this chapter, that '*Pinocchio* is the darkest in hue of all Disney's pictures and the one which, despite its humour, is the most consistently terrifying', remains to be addressed. There are several reasons that may be advanced as to why this film can be so disturbing. The first is that each and every one of the villains who torments Pinocchio (Honest John, Gideon and Stromboli), and Pinocchio and Lampwick and the other boys on Pleasure Island (the Coachman and his troll-like servants), goes unadmonished, let alone punished. Although the film shows that the crimes and misdemeanours of these villains do not always succeed, at no stage is it implied that their crimes do not pay. For example, while Pinocchio and Jiminy do escape from Stromboli's birdcage, Stromboli keeps the money the puppet has earned. Secondly, the

victims of the villainy are ‘abandoned’ by the narrative: while Pinocchio escapes, we do not learn what becomes of Lampwick and the other boys on Treasure Island after they are transformed into donkeys and packed into crates, labelled as destined for the circus or the salt mines. Thirdly, in narrative terms, the spectator of *Pinocchio* is denied closure of the moves which have brought these events into play; unresolved, these narrative moves continue to linger threateningly. The dark hues of the film therefore result in part from what has been done to the protagonists but also from what has not been done to their tormentors. Despite the film’s overt focus on right and wrong, despite the emphasis on conscience as a necessary condition of becoming a ‘real boy’, in *Pinocchio* crimes go unpunished, criminals remain at large and victims remain uncared for. Finally, beneath these concerns lie unconscious fears about the passage of time and its implications, concealed by the bravura of Disney’s animation but nonetheless repeatedly resurfacing. The film discussed in the next chapter, *Dumbo*, has a different style of animation and mise-en-scène from that displayed in *Pinocchio* but that film also conceals anxieties – in this case concerning mother-infant attachment, separation and complicity – all within a story with a happy ending.

Chapter 5 Separation Anxiety and Primitive Envy: *Dumbo*

The story of *Dumbo* is cast in the familiar Disney format of a youthful protagonist who is separated from parents (in this case, his mother), who faces adventures and who, with the help of friends, overcomes the various perils these adventures entail and is reunited with his parents at the end of the film. Dumbo, the child/elephant disadvantaged by a disability (those big ears) that causes him to be personally, socially and professionally humiliated, finally gets his revenge on his tormentors and becomes the star of the very organisation that originally abused him and separated him from his mother. *Dumbo* is often perceived to represent the triumph of the individual over 'the system'. Stephen Watts, for example, considers Dumbo to be 'the virtuous, defenceless underdog who struggles against arbitrary forces, bucks up his courage and ultimately joins with other marginalised figures to overcome their oppressors. His story is a social and political allegory for Depression-era America.'[354] In Watts' reading, the film implies that even a damaged social order – and here the damaged order is the business of the circus – can be mended by the development and celebration of the unique talents of a single individual. When such success flows from help freely given by a friend and mentor (Timothy Mouse), together with a vital contribution from representatives of America's most marginalised group (the jive-talking Crows), the egalitarian ethos of the film seems assured.

Close inspection of the film, however, undermines such an optimistic political assessment. As pointed out by film scholar Nicholas Sammond, Dumbo's

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[354] Watts, *Magic*, p. 90

triumph is very personal – he makes no attempt to involve others who have been taken advantage of by the circus system (for example, the faceless and hardworking roustabouts, the clowns, the older elephants).[355] Sammond comments:

> Yes, Dumbo triumphs once he accepts his uniqueness (which is a very different thing from accepting a common difference that one shares with some, such as elephants and crows, but not with others). But rather than entrepreneurially striking out on his own (as had Disney) Dumbo offers his talents in service of the same circus that had treated him and his mother so cruelly…Rather it is a victory in which one's own personal gain is realised by finding a proper place in society, and by serving a very hierarchical greater good, like that of the circus.[356]

As noted in Chapter 2, the conservative nature of the film's ending had been noted many years ago by Siegfried Kracauer but the film's political stance becomes yet more obvious when one considers what becomes of the Crows at the end of the film. In the closing sequence, we observe the train that is carrying Dumbo's adoring mother, seated in a specially-constructed car with an open veranda. The Crows, who had been flying along with Dumbo and the train, settle on telegraph lines by the track as the train chugs off into the future. They ask each other whether any of them have managed to get Dumbo's autograph and they crow to Dumbo 'Well, so long, glamour boy.' Dumbo flies on and, it must be remarked, never looks back. The Crows are thus reduced to admiring fans who will have no further part in Dumbo's success and who will receive no reward for rescuing him from the margins of society and providing him with his one chance

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[355] Sammond, 'Dumbo', pp. 147–66.
[356] Sammond, 'Dumbo', p. 155.

of success. *Dumbo* is a film that flirts with a critique of class and race but, it must be accepted, the film ultimately retreats to the *status quo ante.*[357]

This political account relates, of course, to the specifics of the time and place of the film's production. Dumbo's enforced separation from his mother touches on more universal concerns and, in this chapter, I argue that the central interpretive feature of *Dumbo* takes place in the psychic terrain of the early mother-infant dyad and the vicissitudes of this relationship, as set out by Donald Winnicott and described in Chapter 1. In this psychoanalytic reading, the film is organised around Dumbo's attachment to, his being wrenched apart from and eventually being reunited with his doting mother. I argue that the film's affective power lies in its depiction of the painful psychic process of separation of infant from mother and the concomitant conscious and unconscious thoughts and feelings, such as fantasies of abandonment and of guilt, that are so evoked. I also argue that, in addition to using psychoanalysis as an interpretative lens with which to understand and work through the affective power of the film and the fantasies *Dumbo* may mobilise in the spectator, alternative models derived from cognitivist film theory can also help to elucidate the mechanisms by which the film engages the spectator.

Dumbo is the only one of the films considered here that is set in the contemporary United States of America. The film contains numerous references to everyday life of the early 1940s which its first viewers would have instantly recognised, perhaps the most obvious being to the war in Europe, with which Americans would soon become intimately engaged. In a foretaste of the fate of

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[357] Danielle Glassmeyer, 'Fighting the Cold War with *Pinocchio*, *Bambi* and *Dumbo*', in *Diversity in Disney Films: Critical Essays on Race, Ethnicity, Gender and Disability*, ed. Johnson Cheu, London: McFarland & Company, 2014: 99–114.

the Disney studio, which immediately after the declaration of the war against Japan was commandeered by the United States Army for the production of educational and propaganda films, *Dumbo* closes with a celebration of the eponymous flying elephant as a weapon of propaganda. Propaganda is itself parodied in the very opening scenes of the film. Contemporary interest in psychoanalysis and hypnosis, a light-hearted version of which had featured in the recently released Astaire and Rogers musical *Carefree* (Mark Sandrich 1938), is also parodied, in this case by Timothy's use of hypnosis to implant an idea into the subconscious mind (sic) of the circus Ringmaster. This sequence replicates the satirical view of the modernity of American medicine comically satirised in *Pinocchio* when Honest John 'diagnoses' Pinocchio's allergy. *Dumbo's* account of the triumph of the 'little guy' – and of the very little guy in the case of his friend Timothy – who progresses from his self-appointed role as Dumbo's mentor to feature on the cover of *Time Magazine*, fulfils quintessential American aspirations, though the disadvantages Dumbo himself overcomes are very personal and occur in the context of an unusual family structure. The sole reference in the film to Dumbo's father is contained in his enigmatic given name of Jumbo Junior.

Dumbo received its premiere at the Broadway Theatre in New York on 23 October 1941.[358] It is of short duration for a feature film (its running time is just sixty-one minutes). It was made relatively inexpensively and so despite being released at the very time the USA was being drawn into World War II, the film

[358] Barrier, *Hollywood*, p. 309.

succeeded in making a profit.[359] *Dumbo* has since been released in home video format, has been available on DVD since 2001 and was released in 2010 in the United Kingdom in a 'Seventieth-Anniversary' Edition as a remastered DVD and in Blu-Ray format. On its initial release, it was favourably received by cinema-goers and critics, a number of whom, as noted above, pointed to its political and social implications. It is, however, Dumbo's repeated humiliation at the hands of the circus performers and the brutal way his mother is wrenched away from him that provides the film with emotional poignancy.

Walt Disney had originally planned to make the film as a short cartoon, using cartoon caricature all the way through, rather than the naturalistic type of animation that had been developed for the other feature films.[360] He held his first meeting about a possible screen adaptation just two months after Aberson and Pearl's book was published and two weeks after the rights were purchased.[361] Because the film called for less elaborate animation of both characters and effects than the earlier features (the multiplane camera was not used and several sequences were shot in silhouette), it could be made cheaply, a crucial issue because the studio had lost money on *Bambi* and *Fantasia.* Moreover, with the end of the phoney war and the fall of France, Disney's Continental European markets had disappeared.[362]

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[359] Its negative cost was $800,000 and its income over the first year was $1.3 million. Barrier, *Hollywood*, p. 318.
[360] The terms 'cartoon' and 'cartoony' are used in this thesis to refer to a style of animation in which the artificiality of the characters and their drawn nature is emphasised through design, movement and dialogue. The Betty Boop series of shorts is a familiar example. In *Dumbo*, the animation of the circus parade and of the clowns are examples of Disney's occasional use of this style in the films under discussion, compared with the naturalistic style otherwise employed. Mark Langer, 'Regionalism in Disney Animation: Pink Elephants and Dumbo', Film History 4.4. 1990: 305–21.
[361] Barrier, 'Mysterious'.
[362] Barrier, *Hollywood*, p. 272.

Starting in the spring of 1940, the initial adaptation was translated into story sketches. Meeting notes were not kept because of Walt Disney's wish to save the cost of hiring a stenographer but his desk diary indicated that he attended thirty-six meetings in the last seven months of 1940,[363] an important detail because it indicates that, despite suggestions to the contrary,[364] he remained deeply committed to the film. As compared with *Pinocchio,* however, Walt Disney released the animators from the need to create a 'perfect object' and assigned many newcomers to the project.[365] The animation was completed in six months and *Dumbo* was finished and released just six weeks before the attack on Pearl Harbor.

The film's prologue opens as the banner-like credits and music give way to a peal of thunder and an image of a cloud-strewn darkened sky.[366] Rain sweeps diagonally across the frame and a portentous voice-over intones a poem that parodies the propaganda promoting the postmen who deliver the US mail in all weather conditions. The sky is then filled with a formation of flying storks, each delivering his mail, in time to an extradiegetic choral song of strikingly egalitarian content: 'You may be poor or rich, it doesn't matter which.' The storks swoop over the Florida peninsula, shown labelled as on a map, and, in a nod to the impending war, parachute their bundles into the winter quarters of the circus. The bundles disgorge babies into the arms of a series of delighted mothers of several

[363] Barrier, *Hollywood*, p. 273.
[364] Eliot, *Walt Disney*, p. 162; Gabler, *Walt Disney*, p. 381.
[365] Gabler*, Walt Disney*, p. 333.
[366] Table 2.8 contains a plot segmentation of the film.

different species but not, alas, into those of Mrs Jumbo. She is left alone, waiting forlornly for her gift.

The panorama of the State of Florida as a map on which, in a number of subsequent passages, the diegetic circus train can also be seen, deflects attention from the narrative and serves as a reminder us that what we are watching is indeed a cartoon. The distancing so produced also prevents the poignancy of Mrs Jumbo's frustration from obscuring the prefiguring of Dumbo's 'otherness', as first signalled by his arrival as the circus leaves its winter quarters, in a sequence crosscut with images of Messenger Stork flying alone through the clouds. As Messenger Stork, whose aloneness parallels Dumbo's, finds his way, we hear Casey Junior's whistle and see again the train moving across the map of Florida. In a series of comedic gags, the stork repeatedly rescues his parcel from falling through the cloud. He eventually finds Mrs Jumbo on the train and delivers her baby. After gags parodying post office bureaucracy (she is required, for example, to sign for the 'delivery'), Mrs Jumbo announces the baby's name is to be Jumbo Junior, although there no evidence here, nor indeed, anywhere else in the film, of a Jumbo Senior.

Dumbo's lack of a father, a feature of the book as well as of the film, provides a point of contact with the unconventional families that characterise the other Disney feature films discussed in this thesis. Moreover, like Snow White, Dumbo lacks a convincing father figure. It is also of note that, apart from Dumbo himself, there are no male elephants in the circus or in the film, another feature that identifies Dumbo's position as isolated and 'other'. This absence of a father and of male members of the community surrounding Dumbo points to the psychic terrain with which the film is engaging – that is to say, to the early dyadic relationship between mother and infant. D.W. Winnicott describes this time as

characterised by what he terms a primary maternal preoccupation or a maternal reverie, wherein for a short duration the mother and baby live in a closed and fused world.[367] During this time the mother provides the sole psychological environment for the baby; thereafter, there gradually begins the slow process of weaning and separation that has both costs and rewards for the mother-infant couple.[368]

The baby is unwrapped and, after his point-of-view of one of the doting dowager elephants comes into focus, she (the dowager elephant) tickles him under the chin and trunk and causes him to sneeze. Figure 5.1 shows that the consequences of suppressing the sneeze, that is, as suggested in Chapter 4, of suppressing the expression of one's interiority, are disastrous. The hitherto doting elephants are horrified by Jumbo Junior's new appearance. One of them inquisitively raises the baby's huge right ear, only to be immediately and firmly smacked by Mrs Jumbo. As the four gossiping elephants derisively rename him Dumbo, Mrs Jumbo angrily slams closed the window of their stall. This scene, which prefigures her smacking Smitty, the naughty boy who will later mock Dumbo because of his large ears, establishes Mrs Jumbo as a fierce and intemperate protector of her child in the context of the early dyadic relation of primary maternal preoccupation. This segment of the film, which closes with images of Mrs Jumbo lovingly cuddling her child, draws the spectator into the intimate realm of early psychic life – the early maternal and infant relationship wherein there is no room for a third person or external world; one in which any third person, according to Winnicott, will be experienced, by mother and child, as

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[367] Donald W. Winnicott, 1956, 'Primary Maternal Preoccupation,' in *Through Paediatrics to Psychoanalysis. Collected papers*, ed. D.W. Winnicott. London: Karnac Books, 1975: 300–5.
[368] Stephen Frosh, 'Attachment and Mentalization,' *A Brief Introduction to Psychoanalytic Theory*, Basingstoke: Palgrave Macmillan, 2012: 117–27.

intrusive.[369] The scene of their cuddling depicts intimate attachment within the mother-infant dyad and the pathos of their impending separation is set in the context of several such scenes of intimacy and love. It is this mother-child attachment that constitutes the film's psychic point of departure and the processes by which the mother and child's separation are rendered and experienced become the film's trajectory.

Figure 5. 1 *Dumbo*: Dumbo after the sneeze

Mrs Jumbo and Dumbo are represented as loving, lively, playful, responsive and connected – in Winnicott's terms, the setting is of a holding environment with a good-enough mother, one that exudes both pleasure and safety for the spectator.[370] The intimacy of the early dyadic relation is depicted in a highly emotive piece of animation, where after being teased by the Ringmaster for tripping over his ears, Dumbo gains consolation in the form of his mother's bathing and playing with him. Their time together, however, is soon curtailed by the showman's announcement of the circus' pre-performance show: 'Fifteen attractions that you won't see anywhere else in the world.' A pan to the right reveals the showman, followed by a cut, first back to Dumbo eagerly anticipating

[369] Winnicott, 'Primary'.
[370] Winnicott, 'Mirror Role'

the crowd's attention and second, to his mother looking on approvingly. The next shot, however, is of a group of naughty boys rudely gesticulating and deriding Dumbo for his large ears, led by Smitty whose red hair, freckles and buck teeth are accompanied by…very big ears (Figure 5.2).[371] Dumbo naively waves his own ears at Smitty who holds his coat up in imitation, pulls Dumbo by the tail, blows directly into one of his ears and pulls the other one. The representation of bullying in this scene draws upon the process whereby the characteristic of the victim that is being demeaned (in this case, Dumbo's large ears) is mirrored in the bully, so that the bully has the very characteristic he is attacking in the victim – as shown in Figure 5.2, which depicts an enactment of the unconscious ego-defence mechanism of projective identification, as developed by Melanie Klein and described in Chapter 1.

Figure 5. 2 *Dumbo*: projective identification (for discussion, see text).

Mrs Jumbo suspends Smitty across a rope by his pants and spanks him furiously. Shown in silhouette, the crowd flees, the Ringmaster appears with a whip and the circus hands tie Mrs Jumbo down with ropes. Dumbo cowers beneath his rearing mother but is pulled away as she is shackled in chains,

[371] The character is named 'Skinny' by Grant, 'Encyclopedia', p.175 but referred to as Smitty on the DVD sound track and its subtitles.

despite which she manages to toss the Ringmaster into the tub in which she had recently bathed Dumbo. An image of the soaked and humiliated Ringmaster is followed by a fade to black and then by images of great pathos – the railway wagon in which Mrs Jumbo will be imprisoned until the very last scene of the film and, inside it, Mrs Jumbo in chains. The sequence compresses the psychic trajectory of the film – that is, the pains and conflicts suffered in the vicissitudes of the early mother-infant relation whereby the external world, in this case represented as menacing and deriding, disrupt the loving mother-child couple in persecutory and violent circumstances. I argue that the persecutory brutality to which the mother-child couple are subjected in this film taps into the spectator's own early separation processes and anxieties – which in reality may not have been brutal at all but in psychic life may have been experienced as so. Dumbo and his mother and their sad story of enforced and cruel separation represent the generic psychic setting of intimate connectedness followed by separation that psychoanalysis theorises as such a crucial part of psychic development.[372]

Outside, Dumbo is crying as his mother is removed and chained up. Such a 'fruitful river in the eye' may well elicit a strong emotional response in the spectator. The particular response it elicits depends, of course, upon the circumstances provoking the tears on the screen and on the degree to which the spectator engages with the character who is crying. On this occasion, the cause is Dumbo's sense of abandonment after this brutal separation; after the collapse of the circus tent, Dumbo's tears are provoked by humiliation; his tears as his imprisoned mother cradles him are of joy mingled with sadness and are mirrored by those of the watching Timothy. Dumbo's last episode of weeping expresses his devastation and sadness at having to leave his mother in the prison wagon

[372] Frosch 2012:117. Winnicott, *Primary*.

when he and Timothy return to the circus. Each of these instances in which Dumbo is crying occurs in the context of his separation from his mother. His humiliation is related to his exposure to the harsh external world which is inextricably linked to his being torn from his mother's protection and thus left vulnerable and abandoned. It is the *sudden* breakup of the infant/mother dyad, which leads to the external world being experienced as dangerous and persecutory, and that is the psychic setting or constellation that the film repeatedly invites the spectator to (re) encounter.

Table 5.1 sets out the contexts of the several episodes of Dumbo weeping.

Table 5.1 Dumbo in tears

Occasion	**Cause**
1. Outside the railway carriage in which his mother has been imprisoned and during the elephants' dismissive conversation	fear of abandonment
2. After the collapse of the circus tent, while Timothy is scrubbing him	humiliation
3. While cradled by his mother	joy
4. Returning from the visit to his mother	sadness

Tears, I suggest, provide an important mechanism for the transmission of emotion in *Dumbo*. I develop my argument about the mechanisms which tears elicit an emotional response in the spectator by turning to concepts derived from cognitivist film theory. Their pertinence is suggested by their particular value in uncovering the capacity of films to transmit emotion and, also, their value in

exploring viewers' affective engagements with fictional characters.[373] For example, in the case of Timothy's bittersweet tears as he watches Dumbo in his mother's embrace, one might postulate the process of 'emotional contagion' is operating, that is, in cognitivist terms, the tendency of one character to mimic and synchronise expressions, vocalisations, postures and movements automatically with those of another, and, consequently, to converge emotionally with them.[374] This mechanism, one might also postulate, is the process by which Dumbo's emotional response to separation from his mother is transmitted to Timothy and the response of both is transmitted to the spectator. The synchrony of response, activated as it is by direct sensory engagement between individuals, is thought to operate through a reflex change which, because of its basis in mimicry, relies heavily on visual contact. Relatively prolonged exposures to the appropriate image (i.e. shots of more than average duration) are, therefore, considered necessary to allow enough time for activation in the spectator of the mimicry and feedback mechanisms postulated to be involved.[375] As shown in Table 3.1 in Appendix 3, the combined duration of the shots of Dumbo weeping in his mother's embrace (shot 22) and of Timothy in tears (shot 33) is twenty-four seconds, four times longer than the average shot duration in the segment of *Dumbo* in which these shots occur.[376]

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[373] Kuhn and Westwell, *Dictionary*, p. 86. See also Carl Plantinga and Greg. M. Smith (eds) *Passionate Views: Film, Cognition, and Emotion.* Baltimore: The Johns Hopkins University Press, 1999: 239–55.
[374] Amy Coplan. 'Catching Characters' Emotions: Emotional Contagion Responses to Narrative Fiction Film', *Film Comment*. 8 2006: 26–38, esp. p. 27.
[375] Carl Plantinga, 'The Scene of Empathy and the Human Face on Film', in Plantinga and Smith *Passionate Views:* esp. p. 249.
[376] The shot numbers and durations are taken from the analysis of this scene, as set out in Appendix 3, Table 3.1. The mean duration of the 39 shots in segment D1 of *Dumbo* is 6.36 seconds (standard deviation 2.93).

The universality of the experience of humiliation and sadness suggests that the spectator's response to Dumbo's feelings after the collapse of the circus tent and after leaving his mother are rooted in sympathy for Dumbo, which is to say, in the relationship of care and concern that develops between the spectator and the characters on the screen. The spectator perhaps unconsciously identifies with Dumbo and his mother at the same time: that is to say, identification is with the structure of the mother/infant dyad and the inevitable separations embedded within this structure. The existential fear evoked by Dumbo's abandonment may also, and relatedly, be considered an example of the cognitivist notion of 'criterial prefocusing', the process by which narrative events and experiences in a film are postulated to fit into familiar schemas that are themselves likely to elicit an emotional response in the spectator.[377]

The mechanisms by which events on the screen provoke tears in the spectator have been discussed by the film scholar Steve Neale, specifically in the context of the adult spectator and film melodrama.[378] Drawing on Franco Moretti's analysis of melodrama in popular literature,[379] Neale considers that in films tears are usually 'the product of powerlessness', caused by the spectator's inability to intervene in narrative events she/he knows will end in distress.[380] For example, the spectator of *Dumbo* can sense that Dumbo's mother's irascible nature will land her in trouble but can do nothing to prevent a series of events she/he feels is likely to end in catastrophe for Mrs Jumbo and Dumbo. Significantly, Neale also proposes that, in the adult spectator, weeping marks and articulates the fantasy

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[377] Noël Carroll, 'Film, Emotion, and Genre', in Carl Plantinga and Greg M. Smith (eds) *Passionate Views: Film, Cognition, and Emotion*. Baltimore: Johns Hopkins University Press, 1999: 21–47, esp. p. 30.
[378] Steve Neale, 'Melodrama and Tears', *Screen* 27.6. 1986: 6–23.
[379] Franco Moretti, 1983, 'Kindergarten', *Signs Taken for Wonders: Essays in the Sociology of Literary Forms*, revised edn. London: Verso, 1988: 157–81.
[380] Neale, 'Melodrama', p. 11.

of absence of the mother and the wish for her return, for a state of being prior to the fundamental separation and loss that characterises melodrama.[381] In *Dumbo* such separation is acted out in the diegesis as well as conceived in fantasy**.**

In any event, the spectator of *Dumbo* has just witnessed a most traumatic separation, and, to the extent to which s/he identifies with Dumbo, she/he may experience the child's feelings of guilt that she/he might have been the cause of the separation. Mrs Jumbo's incarceration as a Mad Elephant adds yet another burden – that of bearing responsibility for the ineffable burden that parental madness is for children. These feelings have an origin that is complex and deep. First, the film suggests that Dumbo *is* partly responsible for the catastrophe because it is his helplessness and his 'otherness' that provoked Mrs Jumbo's protective violence, on this and, indeed, on the earlier occasion. Second, the sense of guilt so provoked taps into the spectator's own ego defences, that is, into the primitive envy posited by Klein to result from a child's experience of a flow of maternal goodness that cannot be emulated, which, on this occasion, emanates from Mrs Jumbo's motherly nurturing and robust defence of Dumbo. The mechanism of transmission of the emotion from screen to spectator has thus been identified using concepts derived from cognitivist film theory and their significance, their meaning, has been explored through the use of psychoanalytic models of attachment and separation. It is the combination of these two sets of processes which provides the spectator with a conscious and unconscious emotional pivot and which, I argue, makes watching *Dumbo* so affecting an experience.

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[381] Neale, 'Melodrama', p. 17.

As Dumbo hears the elephants gossiping unkindly about his mother, the camera pans left, tilts downwards and zooms forward to reveal the diminutive Timothy Mouse emerging from his bed. Timothy and Dumbo hear one of the elephants say 'It's all the fault of that little F-R-E-A-K'. As they shun him, Timothy emphasises Dumbo's plight in an aside to camera: 'There he goes, without a friend in the world'. Timothy marches off, dwarfed by the legs of the enormous elephants – who then react in terror when they see the tiny mouse. Timothy declares that he is Dumbo's friend and offers to help free his mother. 'Your ma ain't crazy,' he says, 'She's just broken hearted'.

The Ringmaster has an idea for a circus attraction that involves the elephants but cannot think of 'a climax' and so decides to sleep on it: 'Maybe it comes to me in a vision while I dream'. Timothy overhears the remark and decides to enact the role of the Ringmaster's 'subconscious mind' (sic). After banging a softly reverberating gong, presumably to induce a hypnotic state, he whispers into the ear of the snoring man that Dumbo will provide 'the climax'. The Ringmaster promptly awakens, having thought of just this idea. The film's acknowledgement of the importance of dreams (this dream being the first of the two that occur in the film) is then disavowed, however, in the playful depiction of the 'subconscious' as a ghost. Despite the erroneous reference to subconscious rather than unconscious, and the confusion of problem solving during dreaming with post-hypnotic suggestion, this is, however, a characteristic scene in a Disney family film, designed as it is with its dual address to adults (the contemporary and witty references to the un/subconscious mind) and to children (its playful depiction as a ghost).

The sequence that enacts the suggestion made by the Ringmaster's 'subconscious' depicts six large elephants undertaking the 'super colossal

spectacle' of balancing on a ball in the circus ring. In a second episode of crosscutting, Timothy prepares Dumbo for his task and we follow the action from a 'crane shot' (i.e. from the elephants' point-of-view), Dumbo runs towards the springboard, his ears unravel and he trips and plummets straight into the ball upon which the elephants are balanced. The collapse of the pyramid, which takes up a full minute and ten seconds of expanded screen time, brings the whole tent down and with it Dumbo's life as a performing circus elephant. An establishing shot of the circus train travelling through a rainy night opens the next segment in which the elephants learn that Dumbo has been made a clown. In taking a solemn vow that 'From now on, he is not an elephant', they add to their depriving Dumbo of his name, their denial of his very species. And so, after an indeterminate temporal ellipse, we find Dumbo in the circus ring, atop an apparently burning building with a mockingly distraught clown dressed as a mother and claiming her baby has been caught in a fire. A Keystone Cops-like fire engine arrives and Dumbo is forced to jump into a firemen's net and into the very bucket in which we had but recently watched his mother bathe him.

The clowns, depicted again in silhouette, drink to the success of their own act, while, in a crosscut sequence Timothy uses Dumbo's tears of humiliation to lather-up soap, and, in an echo of the earlier scene in which Dumbo had been bathed by his mother, Timothy washes Dumbo and tries to convince him that he's been 'a big hit'. In the context of bathing, washing and care, Dumbo's tears function as a cathartic response to his humiliation (Table 5.1) and lead to his being taken to visit his mother. In a narrative digression of great tenderness, their trunks touch and Mrs Jumbo cradles and swings Dumbo from side to side in time to an extradiegetic lullaby ('Baby Mine') that harkens back to that early mother/infant blissful union that provides the pre-separation holding environment

evoked earlier in the film. We then see eight different species of circus animals, each of the mothers sleeping peacefully with her progeny. The plethora of animal species all illustrating the same thing, in this case the ubiquity of maternal care and nurture, parallels the plethora of musical boxes and clocks all telling the same time in *Pinocchio.* In Dumbo, the repeated images ensure the film's affect remains firmly located in the psychic terrain of the infant-maternal bond. At the same time, however, this excess points to an anxiety about its opposite – about lack, in this case, about Dumbo's and the spectator's lack in the face of the inevitable psychic trajectory of separation from the mother and the necessary but painful challenges that this separating produces. This sequence emphasises the trauma of Dumbo's separation from his mother but also, I argue, deflects the spectator away from even more disturbing fantasies about sharing in the responsibility for Mrs Jumbo's imprisonment and supposed madness. In this way, the idealised scenes of the many other mother-infant dyads, whose depiction echo that of Dumbo in his mother's loving embrace, obscure the darker sense of implication in Mrs Jumbo's fate.

At a celebratory party, the clowns are getting drunk. They decide to raise the height from which Dumbo will have to jump and to increase the amount of money they will demand for performing their act. 'We're gonna get more money, because we know we're funny', the clowns sing, as one of them accidently knocks a bottle of champagne into the tub of water outside their tent. Dumbo develops hiccoughs while returning from the visit to his mother and drinks from the champagne-contaminated bucket of water. Timothy tries to investigate but falls into the bucket, from which he emerges drunk. Dumbo's hiccoughs, overtly caused by inebriation, also resonate with bodily symptoms associated with infant feeding, namely hiccoughs themselves but also burping and colic. The hiccoughs

occur immediately after his visit to his mother and so, as well as indicating inebriation, they may be interpreted as signalling regression to an infantile state within the dyadic environment of primary maternal preoccupation. This regression, represented specifically as a bodily reflex (that is, as preverbal and primitive) is perhaps a prelude to Dumbo's and Timothy's ensuing dream of bubbles.

Dumbo blows bubbles of various sizes and shapes, which Timothy embraces, inserts himself into and generally larks about with and, when they burst, sinks to the ground in cartoony fashion. The last and largest bubble transforms into a transparent pink elephant, which multiplies into four pink elephants, with each of their trunks becoming musical pipes. There follow

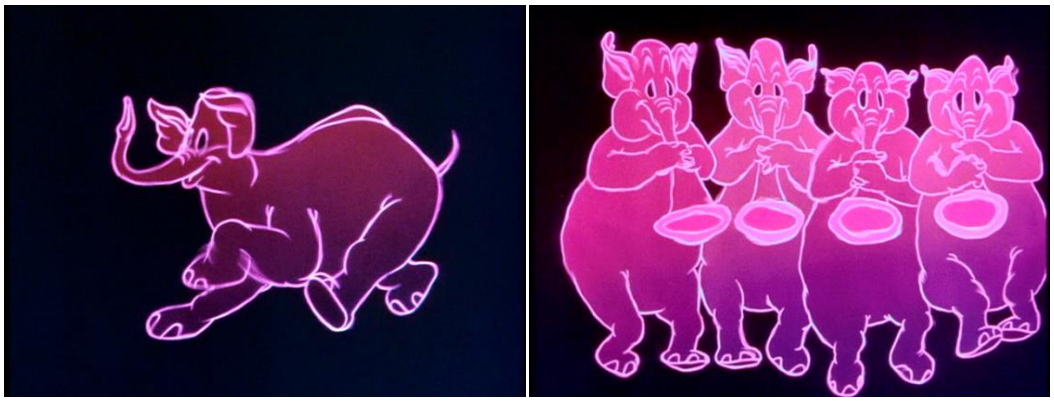

Figure 5. 3 *Dumbo*: The dance of the Pink Elephants begins.

numerous plasmatic changes of size, shape and colour in a sequence of metamorphoses that, as in dreams and the workings of the unconscious, have no basis in conventional causality or logic.[382] Timothy appears to be dreaming the same events, adding to the dream's strange quality but also indicating that it is

[382] 'Seeing pink elephants' is a euphemism for inebriation. Nicholas Sammond considers 'The pink elephants, fancy-free in their uniform and multifarious difference, ultimately have a definite purpose: they merely describe Dumbo's drunkenness.' (Sammond, *Dumbo*, p. 154.)

not the hallucination of a solitary individual but, being shared with Timothy, the hallucination may also be shared with the spectator. The critic Michael Wilmington regards the dream's apparitions to be roguish and flirtatious[383] but there is also a menacing quality about the way they multiply that recalls the threatening and replicating brooms in *The Sorcerer's Apprentice* section of *Fantasia*.[384] The accompanying song adds to the sense of unease:

> 'I am not the type to faint
> When things are odd and things are quaint
> But seeing things you know that ain't
> Can certainly give you an awful fright
> What a sight
> Chase them away, chase them away
> I'm afraid, need your aid
> Pink Elephants on Parade.'

While Wilmington's description of the dream as becoming progressively surreal, then lyrical, then driving and lubricious provides a useful and concise summary, the dream also re-presents the motif of flying that opens and closes the film and which becomes the subject of the following sequence and indeed the climax of the film. The dance ends with numerous pink elephants floating gently downwards and morphing into clouds.

After a brief fade to black, four Crows, whose parodic appearance as African Americans has been discussed earlier, land on a tree branch and observe the sleeping Dumbo and Timothy. 'They ain't dead, is they?' asks the short-

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[383] Wilmington, 'Dumbo', pp. 77–81.
[384] The animation of the Pink Elephants on Parade sequence was considered by Mark Langer to be a mixture of the 'East Coast' style (the cartoony appearance of the work of the New York studios of, for example the Fleischer Brothers) and the West Coast style of animation (the naturalist style embraced by Disney). Langer, 'Regionalism', pp. 305–21.

sighted Glasses Crow about Dumbo and Timothy.[385] 'No. Dead people don't snore. Or do they?' replies Fat Crow, acknowledging the role snoring takes in the Disney representation of sleep and the way it is used to distinguish sleep from the stillness of death. They are joined by the cigar-chomping and very hip Jim Crow, who takes over the investigation, wakes Timothy by blowing smoke in his face and points out that he and Dumbo are actually in a tree. Timothy accepts Jim's suggestion that 'Maybe y'all flew up'. The proposal becomes the spur for the comic song 'When I see an elephant fly', whose conceit (for example, 'I've see a horse fly. A dragon fly. A house fly…but I been done seen about everything, when I seen an elephant fly') has its origin in the conversation about looking- glass insects between Alice and the Gnat in *Alice Through the Looking Glass*, in which they discuss the Horse fly, the Dragon fly, the Snap-Dragon fly, the Butterfly and the Bread-and-Butterfly.[386]

Timothy, implores the Crows to be sympathetic to Dumbo's plight. 'Socially,' Timothy tells them, 'he's washed up'. His parodic sermon brings equally parodic tears to the Crows' eyes but they recognise the nature of the problem instantly and decide to help. 'You want to make the elephant fly, you gotta use 'chology'. Jim sagely advises. They pluck a feather from Glasses Crow's behind and present it to Timothy as a talisman which, providing Dumbo holds onto, will enable him to fly. Timothy joins the conspiracy and the scene shifts to a rocky promontory, off which they push Dumbo – and he flies. As the scene concludes, the song ends with 'Brother, now I seen everything!'

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[385] The names given here are taken from Grant, Encyclopedia, p.175.
[386] Lewis Carroll, 1872, 'Looking-Glass Insects', in Hugh Haughton (ed.) *Through the Looking Glass and What Alice Found There*. London: Penguin Books, 1998: 145–55.

The clowns' scene of the burning building is reprised in the big top, except that the building is now higher than before. Dumbo, with Timothy in his hat and the feather clutched in his trunk, leaps off the top. Held in a searchlight, he hurtles towards the ground at such a speed that the magic feather is blown from his grasp. A series of point-of-view shots of the ground approaching causes Timothy to panic and admit the feather was 'just a gag.' There is the roar of an aircraft engine and Dumbo pulls out of the dive and after circling, power-dives at the clowns and the Ringmaster. They are all appropriately chastised by the flying elephant and the scenes in the circus give way to a series of newspaper front pages announcing his feat.[387] The film closes with shots of the animals on the train singing the Crows' song, with Dumbo and Helpers flying along and Dumbo descending from the sky to embrace his mother.

The story of *Dumbo* is rooted in fantasy and is, moreover, depicted in many of the sequences in a cartoony style of animation that is simple and lacks the naturalist animation of the other films considered in this thesis. Nevertheless, through the psychological mechanisms drawn from cognitivist film theory and the evocations of the structure of the early mother-infant dyad and its trajectory of separation and individuation, the spectator is provided with an opportunity to engage with Dumbo and his mother's situation at a primitive psychic level.

[387] One shot illustrates Disney's version of the American reporting of World War II (Britain in Greatest Offensive, reads the headline). Another is surtitled 'Dumbombers for Defense' (sic). Whereas the attack on Pearl Harbor had resulted in the plan for Walt Disney to appear on the cover of *Time Magazine* being jettisoned (Gabler, p. 381), the achievements of Timothy Q. Mouse were too remarkable to be ignored and another shot shows Timothy's image on the cover of the magazine.

Mrs Jumbo's incarceration occurs as a direct consequence of her intervention on Dumbo's behalf and Dumbo himself is frequently in tears. One can therefore appreciate how feelings of guilt typically suffered by children fearing separation from their parents may be evoked by both plot and characterisation. The film's ability to elicit a conscious feeling of distress in sympathy with Dumbo's experiences may, therefore, be considered a screen behind which lurks a greater misgiving, that is, the distress caused by Dumbo's – and thereby the spectator's – unconscious fantasy of responsibility and thus guilt for the disaster that befalls his mother. The primitive envy in this fantasy is, in the formulation of Melanie Klein, postulated to arise when the child experiences a flow of goodness that it is too small and immature to be to be able to reciprocate.[388] The unconscious fantasy that arises from the unease so experienced is 'split off' and the resulting part object projected onto the mother, who is then fantasised by the child to 'contain' the bad object responsible for the child's distress and so is attacked by the child. It is this mechanism of (unconscious) envy and the associated ego-defence mechanisms of splitting and projection theorised by Melanie Klein that, I argue, provides a background which the spectator unconsciously recognises and responds to at the most psychically primitive level. The process restates the unconscious suggestion that the child is responsible for the mother's plight, for which the child then begins to feel guilt.

Dumbo is full of tears. So much so, that weeping almost becomes the film's key motif. The question that presses is wherein lies the spectator's reward in all these tears? It is a question that is difficult to answer in relation to films made for adults but even more so in films watched by the children who are so much part of the families for whom the film was made. As discussed in relation to

[388] Klein, *Envy*.

films in the genre of adult melodrama, Steve Neale proposed the spectator's powerlessness to alter the outcome of the drama as a key provocation of an audience's tears.[389] For a child watching a film such as *Dumbo*, perhaps it is the fulfilment of the protagonist's, and by implication, of the spectator's wish for reunion with the mother, and, crucially, the unconscious wish for reparation for any hurt inflicted that such reunion would imply, that makes the catharsis of tears tolerable, perhaps even pleasurable.

Despite the remarkable catalogue of disasters the film enacts, I have argued that *Dumbo* is a film whose deepest hurt remains concealed. The subjects of harm inflicted by children on their mothers and the feelings of guilt that flow from the enactment of such harm are raised more overtly in the final film discussed in the thesis. While *Bambi* is the animated film most people associate with a catastrophe involving a mother, *Dumbo's* more muted place in the Disney canon (it has, after all, not won the awards received by the other three films) may reflect its more subtle evocation of pain and guilt. It also suggests that *Dumbo's* surface story of triumph over adversity provides an incomplete account of the film's impact on its audience.

[389] Neale, 'Melodrama', p. 11.

Chapter 6 The Oedipal Trajectory: *Bambi*

The child's early attachment to its mother and the developmental processes involved in their separation are part of the psychic terrain of *Bambi* as well as of *Dumbo.* In this respect, however, the key feature of *Bambi* is that in this film the events of separation are played out at a later stage of psychic development of the 'child' and are set within a more mature (fictional) family structure. In terms of the unconscious processes at work in *Bambi*, the infant-mother union now includes a third entity, Bambi's father, the Great Prince of the Forest, and so it might be said that the psychic structure on display and worked through in this film moves from the pre-Oedipal to the Oedipal stage of development. While *Dumbo* charts and enacts the affect involved in pre-Oedipal processes of fusion and separation in its reencounter with the psychic vicissitudes of early attachment, *Bambi* takes on the theme of maternal separation at a very different register. The loss that *Bambi* addresses is a gone-forever-loss whose finality is expressed in the famous words with which Bambi's father announces the death: 'Your mother can't be with you anymore'. Whereas in the end Dumbo is able to reconnect with his mother, Bambi's loss must be permanent. But the compensation is that Bambi goes on to find a mate of his own, to succeed the Great Prince and to sire his own family, so playing out the fulfilment of the Oedipal drama.

Here again is a film saturated with ruminations about death and about harm enacted on a mother. The world of *Bambi* is initially that of the early mother-child relationship. The film opens with intimate scenes of motherly love in the enclosed safe spaces, or holding environments, of the woodland but proceeds to venture into the expansive, exposed and dangerous space of the meadow where, after a severe winter, the deer can find fresh spring grass. At this point, the film

leaves the safe maternal realm and switches abruptly into the setting of a coming-of-age narrative.

Bambi opened at Radio City Music Hall in New York on 12 August 1942, after a premiere in London five days earlier.[390] Reviews were favourable but the film did not recover its production costs in its initial release, partly because of the loss of European markets in wartime but also because a story about the lives of innocent and peaceful deer seemed to have little relevance to the needs of American cinema-goers recently traumatised by the attack on Pearl Harbor.[391] The film was more successful after World War II and when it appeared in video format in 1990 it became the third largest grossing film after *Gone with the Wind* (Victor Fleming 1939) and *Sound of Music* (Robert Wise 1965).[392] *Bambi* became available in a two-disk 'Platinum' DVD package in 1995 and in Blu-Ray format in 2011. In 2008, the American Film Institute ranked *Bambi* third in its list of the 'Ten Best American Animated Films'.

Bambi presented Disney's animators with a special problem which was. how best to represent the deer. The animators spent three to four months drawing the animals, acquired many feet of live-action film and two does were brought into the studio.[393] They even dissected a dead deer. The main difficulty was how to draw lips and jaw movements without the long narrow muzzle of an adult dear looking soft and rubbery. Their solution was to give the deer eyes and mouths that could be manipulated freely and to maximise their cuteness and

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[390] Barrier, *Animated*, p.180.
[391] Gabler, *Walt Disney*, p. 398.
[392] Lutts, 'Trouble', pp. 160–71.
[393] Gabler, *Walt Disney*, p. 319.

resemblance to human children by giving them large heads and wide eyes with eyelashes. Drawing antlers also presented a problem because, as the animals moved, the antlers lost both the appearance of stiffness and their regal look. The problem was solved by projecting a photographic image of a three-dimensional model of antlers onto the drawing of a deer's head, filming it and then tracing the resulting combination onto the animation drawings, that is, by using a complex form of rotoscopy. The model of the antlers could then be turned in any direction to match the deer's movement.[394] The animation of the deer in *Bambi* is widely regarded as the pinnacle of Disney's naturalistic style.[395] The animation backgrounds, designed by the Chinese artist Ty Wong, have a simple atmospheric and ethereal quality, which Robin Allan considers to be more like a painted tapestry of colours in which children play than a real forest.[396]

Production of the film was caught up in delays occasioned by the Disney studio strike, which started at the end of May 1941. The studio closed in mid August and reopened, unionised, three and a half months later. Inking and painting of the cels were completed in December 1941, in the very month of the attack on Pearl Harbor, and a preview planned for Christmas was further delayed when Walt Disney decided to have more lyrics added to the score.[397] For reasons of economy (*Pinocchio* was not bringing in sufficient returns and earnings from abroad had fallen as a result of the War), some camera angles had to be simplified, a number of characters were placed in silhouette to avoid the need for full animation and the film's running time was shortened by twelve minutes.[398] The final version of *Bambi* was released in August 1942, some six years after

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[394] Johnston and Thomas, *Disney's Bambi*, p. 165.
[395] Riffel, *Dissecting*.
[396] Allan, Disney and Europe, p.183
[397] Barrier, *Animated*, p. 191.
[398] Gabler, *Walt* Disney, p. 396

Disney had begun work on it. Its negative cost was $1.7 million. Takings from the initial run were $200,000 less than its costs but, as noted above, the film prospered in later releases.[399]

Bambi opens deep in a forest at dawn, with an oblique multiplane pan from left to right, past a waterfall and a river. Halfway through this establishing shot, which lasts for a remarkable one minute and thirty-three seconds, the camera finds and follows Friend Owl as he flies home. A nocturnal animal, Friend Owl yawns and falls asleep, snoring in the way Disney characters do when they are shown sleeping, just as the surrounding animals and birds awaken. There are at least six families and they begin recognisable morning routines of washing faces, eating breakfast, engaging in sibling rivalry and hovering around mothers. As pointed out by Donald Hall, the scene is comfortingly recognisable and easily contextualised historically – rather than the threatening forest of the European fairy tale, the scene captures the community and family ideals of mid twentieth-century America.[400] Their breakfasts – and Friend Owl's sleep – are interrupted by Thumper's announcement that 'The new Prince is born!' They all move, again from left to right of frame, deeper into the forest, to find Bambi's mother sitting with the new-born fawn in front of her, their images displayed in a key Disney composition (see Chapter 2 for discussion), framed within a frame (Figure 6.1).

Friend Owl acts as the animals' interlocutor and tries to attract Bambi's attention by putting his face right in front of the baby deer's eyes. We see Friend Owl from Bambi's point-of-view, the type of image anyone who as a small child

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[399] Gabler, *Walt Disney*, p. 399.
[400] Donald E. Hall, 'Bambi on Top', *Children's Literature Association Quarterly* 21.3. 1996:120–5.

Figure 6. 1 *Bambi*: Bambi on the day of his birth, the image framed within a frame.

has been shown off to adults will recognise. At Friend Owl's behest, the animals leave Bambi to sleep and a pan to the right followed by an upward tilt reveals the Great Prince of the Forest, watching over them. In this single shot, which closes the film's first segment (Table 2.10, Segment A), we are shown the anthropomorphised triad of defenceless infant, nurturing mother and protective father – a metonym for the human nuclear-family audience addressed by the film.[401]

Bambi's first walk provides the occasion for some visual gags (for example, opossums hanging by their tails from a branch, upside down from the spectator's point-of-view but, after Bambi twists his head in a cartoony way, the right way up from his point-of-view). Bambi meets Thumper, whose mother remonstrates with Thumper for not saying 'something nice' to Bambi in a scene whose pedagogical message is clearly directed to the spectator as much as to the culprit. While Bambi is with the family of rabbits and the birds he learns to walk, run, jump and speak. His first words, surprisingly perhaps in so anthropomorphised a scene – acquisition of language being a specifically human

[401] A shot analysis of this passage is set out in Appendix 4, Table 4.1.

trait – are ‘bird’ and ‘butterfly’. In following the apparent rules of language, he amusingly misnames a skunk ‘flower’.

Following a narrative ellipse of indeterminate duration, Bambi’s mother leads him to the meadow which, she tells him, is ‘a very wonderful place’ but, she warns ‘…out there we’re unprotected. The meadow is wide and open and there are no trees and bushes to hide us. So we have to be very careful’.[402] Bambi’s mother takes him gambolling through the open spaces, again meeting birds and the family of rabbits – from whom he learns about the pleasures of eating clover in a scene in which Thumper, as now seems inevitable, is again admonished by his mother, on this occasion over gluttony. Bambi sees his own reflection in a pond, and then that of Faline, in a manner reminiscent of the scene in *Snow White and the Seven Dwarfs* in which Snow White’s reflection in the Wishing Well is joined by that of the Prince (Figure 3.2). The two fauns climb onto a rocky promontory and watch as a herd of bucks charges across the meadow. The fawns stop as the Great Prince of the Forest majestically processes past them. The Great Prince, his authority emphasised in a backlit image, stops to look backwards and downwards at his son (Figure 6.2). He then slowly walks up into a forest glade, only to race down, from right to left of frame, to warn all the other deer that ‘Man is in the forest’. In the rush to escape, Bambi becomes separated from his mother. Her frantic calls to him prefigure his own to her in the later scene in which she is killed at the same site. The Great Prince finds the distraught Bambi and, as he leads his family to safety, two shots are heard. In the safety of the thicket, Bambi’s mother explains: ‘Man was in the forest’. One notes the repeated contrast of the safety of the enclosed forest and the hazards of the

[402] This statement is, in Proppian terms, is a prohibition – which the spectator can anticipate will soon be ignored.

open meadow. *Bambi's* forest is free of humans, except as invaders, consistent with the contemporary notion that before the pioneers arrived the American West was a pristine wilderness.[403.]

Figure 6. 2 *Bambi*: The Great Prince of the Forest and his young son.

Here the spectator is invited to identify with Bambi as a child who must learn familiar lessons, as a loved and playful member of an idealised family and finally, as a child potentially exposed to real danger. While Bambi's parents may have been able to protect him from the shared hazard – and here his otherwise remote father has an important role – an implicit lesson of this first experience of the meadow concerns a child's responsibility for her/his own safety. At the same time, the segment prefigures the greater dangers shortly to be encountered. The progress of the seasons is signalled by the fall of autumn leaves and then by Bambi waking to find the ground covered in snow. The pleasures of winter are celebrated in a narrative digression lasting nearly five minutes of screen time, in

[403] This idea that ignored a history of centuries of habitation and agricultural interventions by Native Americans. Such interventions included, inter alia, the setting of controlled fires, a practice prohibited in California until the late 1960s but which, it is now acknowledged, reduces the risk that uncleared undergrowth and brushwood might fuel the kind of massive and uncontrollable fire represented in the film. Stephen J. Pyne, *Fire in America: A Cultural History of Wildland and Rural Fire*. Princeton, NJ: Princeton University Press, 1982: 1–654. Bambi's image was used for several years in fire prevention propaganda, though it was eventually replaced by that of Smokey the Bear (Whitley, Idea, p. 72).

which Bambi and Thumper cavort in the snow and on the ice. The trials of winter are signalled by a column of hungry deer searching for food. Bambi's mother has to tear the bark off leafless trees to feed him.

Eventually spring arrives and Bambi's mother leads him into the meadow to eat new grass that she has found. As they eat, the extradiegetic music abruptly takes on a threatening quality, a sudden cut to a close-up of mother indicates she senses danger and they flee towards the forest. This is the key and iconic tear-jerking scene in the film.[404] 'Faster Bambi!' Bambi's mother cries, 'Don't look back!' Two gunshots are heard, Bambi escapes into the thicket but, when he calls out to his mother, there is only silence. Repeated calls go unanswered. Though neither Bambi nor we have seen either the hunters or his mother being struck, it is clear that she is about to die and, as discussed in Chapter 5, our feeling of powerlessness to prevent the catastrophe of her impending death heightens our suspense and distress. Bambi's father looms out of the falling snow (Figure 6.3) and says, in words that have left countless children in tears, 'Your mother can't be with you anymore'. There follow eighteen seconds of screen silence, during which we see in silhouette a shot-reverse-shot of Bambi and of his father veiled by the falling snow. 'Come, my son', the Great Prince of the Forest finally says and, after a single fleeting look backwards and a single tear, Bambi follows his father and leaves the scene. We cannot but recognise how that single tear and that single look backwards contrasts with Dumbo's copious tears and his several attempts to return to his mother. Reunion, even looking back, is not to be contemplated in this part of the narrative of *Bambi,* whose structure here has a clear and forward trajectory that indicates that what we have seen is the start of

[404] A shot analysis of this scene is given in Appendix 4, Table 4.2.

Figure 6. 3 *Bambi*: 'Your mother can't be with you anymore. Bambi's point of view of his father, seen through snowflakes which emphasise the coldness of the scene.

the process of Bambi's real separation and real maturation. His mother's murder is the pivotal moment that mobilises Bambi to take his place in the patriarchy – in the structure of power that is transmitted from father to son.[405]

This canonical scene evokes the spectator's existential dread of losing her/his mother to the finality of death. The intensity of the distress caused by this episode is familiar to anyone who has seen the film, whether as a child, as an adult or as an adult accompanying a child. Indeed, what most people recall most vividly – and even relive – from their childhood viewing of the film is the overwhelming sadness this catastrophe evokes. Ira Konigsberg comments on the extreme anxiety the unprepared for and unresolved separation provokes in young children[406] and the Disney scholar Robin Allan reports that on each of the six occasions he saw the film, a child had to be removed from the cinema in distress.[407] Allan also describes how, after he had given a lecture, two middle-

[405] Whilst there is a Great Prince of The Forest, there is no Princess or Queen in *Bambi* – the hegemonic structure of this forest's royal family is entirely male.
[406] Konigsberg, 'Children', pp. 277–303.
[407] Allan, *Disney and* Europe, p. 202.

aged guests told him that their memory of the death of Bambi's mother had haunted them all their lives. In its emotional impact, then, this episode has had 'few parallels in children's literature or filmic experience'.[408]

A deeper reading of this cinematic representation of death of a mother may also be productive. A Kleinian interpretation would regard Bambi's mother's leading him to the new spring grass as an apt metaphor for the action of the good breast, that is, the breast that assuages the infant's hunger. Such a reading would note how the action of finding food and relieving Bambi of hunger constitutes a flow of maternal goodness that is unemulatable – unemulatable because Bambi is too small, vulnerable and inexperienced to forage on behalf of his mother and himself. As set out in Chapter 1, in the Kleinian formulation of envy, at an unconscious level the ambition to be 'as good' as the person who has done one good, that is the ambition to reciprocate an act that brings pleasure, may, if thwarted, distress the child's ego to an extent that can only be relieved by attacking the good object, spoiling its goodness in order to remove the source of the feelings of frustration and anger. In this formulation, the death of Bambi's mother may be read as displaying an unconscious projection of a bad object that causes envy. Moreover, the deed has been committed by an unseen hunter, a human with whom the spectator is compelled, if only by species, to have some affinity. It is small wonder then that this scene stays so firmly in the memory. Its overt content is upsetting indeed but, like the story of *Dumbo,* the scene may embody other less explicit meanings that implicate the spectator in complicity.

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[408] David Payne, 'Bambi', in Elizabeth Bell, Lynda Haas, and Laura Sells (eds) *From Mouse to Mermaid*. Bloomington: Indiana University Press, 1995: 137–47), esp. p. 140. Peter Wollen, 2001,'An Alphabet of Cinema', Paris Hollywood: Writings on Film. London: Verso, 2002: 1–21), esp. p.3

A temporal ellipse follows this scene. It is now spring, the forest glade is in full bloom and colourful birds wake a ‘cartoony’ Friend Owl with their singing and flirting. The tree is shaken by Bambi rubbing his new antlers against it and, in response to Bambi’s introducing himself in a voice that has now clearly broken, Friend Owl observes: ‘I see you’ve traded in your spots for a pair of antlers’. Thumper and Flower appear, also now grown up, and they all listen to a disquisition by Friend Owl on ‘twitterpation’, which is to say, on the dangers of the springtime wiles of the opposite sex. They protest that nothing will happen to them but of course they are immediately ensnared, in gag-laden animation sequences that harken back to the days of Disney one-reelers.

In another of Disney’s use of mirrored images, Bambi sees Faline’s reflection in a pool that reprises their first meeting, and indeed the first meeting of Snow White and the Prince (Figure 3.2), although in this instance Faline’s image is inverted (Figure 6.4). Initially bashful, Bambi catches his new antlers in a tree in a manner that suggests the clumsiness of adolescence. In an instant they are shown to be in love, as, depicted in full-shot, they dreamily dance on clouds as if in a sequence in a Hollywood musical. Reality intervenes with the sudden appearance of Ronno, who challenges Bambi for Faline’s attentions. Their fight is depicted in stylised animation that maintains the oneiric quality of this passage of the film. The fight concludes with Bambi in priapic pose, surveying his defeated competitor. Bambi and Faline resume dancing through the forest, he leading, she following. The camera follows, eventually tilting upwards to show leaves swirling in the wind, the withheld scene leaving the amorous conclusion to the spectator’s imagination.

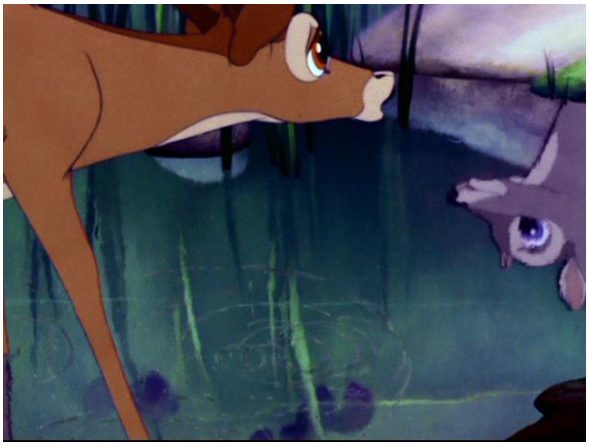

Figure 6. 4 *Bambi*: Bambi and Faline reprise their first meeting.

After yet another temporal ellipse, images of swirling leaves indicate the onset of autumn, also indicated by the trees becoming bare. A multiplane zoom deep into the forest ends with a cut to a medium long shot of Bambi and Faline asleep. Bambi wakes, walks to the top of a cliff, from which he espies smoke rising from, and crows circling around what, from his point-of-view, is the hunters' campfire. He is joined by the Great Prince who says 'It is Man… We must go deep into the forest'. In a demonstration of Bambi's position in the new family hierarchy, he disregards his father's advice and leaves to look for his own mate, Faline. While Bambi and Faline's frantic and unanswered calls to each other reprise the earlier scenes in which Bambi had become separated from his mother, this sequence, like the one in which his disregards his father's advice, depicts Bambi's changed position from childlike dependency on his mother to one in which he is shown enacting an adult and protective role with his partner, within his own family structure. These scenes reinforce the spectator's sense of the progress that has been made along the pathway of the story's Oedipal trajectory.

The animals of the forest attempt to hide from the hunters. In mounting panic, a family of pheasants whispers warnings to each other; one of them, who can stand the confinement no longer, attempts to escape and is shot (off frame)

attempting to fly away. Animals flee (right to left of frame), intercut with images of the lost Faline, whose terror of being abandoned is increased as she is pursued by a pack of the hunters' hounds. Faline is rescued by Bambi but as he leaps to safety from the top of the rock, a single shot is heard and he falls to the ground. A shot of his trying to get to his feet is succeeded by one of fire spreading, from right to left of frame, from the hunters' campfire to surrounding leaves. A right-to-left pan shows the fire rapidly spreading through the trees, many of which are leafless.

Bambi is unable to stand; his father appears and, in a shot-reverse-shot sequence, orders Bambi to get up and 'Come with me'. Together they race through the conflagration over burning embers, In a rapidly edited sequence, they leap over a waterfall into the foaming river. The image dissolves into a long shot of three islands with the burning forest in the background, then to a closer shot of one of the islands onto which numerous animals climb (including the opossum with the babies slung from her tail) and succour their young. Faline scans the horizon forlornly; there is a cut to her point-of-view of Bambi and his father swimming slowly towards her. As the Great Prince leaves the frame, the extradiegetic music of 'Love is a Song that Never Ends' swells, Bambi runs to Faline and the screen is filled by their kiss. They turn to look back at the burning forest and the screen fades to black, signalling another temporal ellipse.

The film concludes in the spring. New flowers have appeared, Friend Owl is in his tree, five small rabbits arrive and, thumping on the tree trunk, shout 'Wake up Friend Owl!' Flower announces 'It's happened. In the thicket', and then to his child: 'Hurry up Bambi'. There follows the expected parade of brightly drawn animals entering the middle of the forest to greet Faline's twin fauns (Figure 6.10). The cycle is complete.

Figure 6. 5 *Bambi*: A reprise of the image of Bambi's birth illustrates the cycle of nature.

Bambi's cyclical narrative is apparent in the film's plot structure, as noted in Chapter 2, and it is underscored, for example, in the similarly drawn and composed images of mother and fawn at the beginning and end of the film (Figures 6.1 and 6.5). As in *Snow White and the Seven Dwarfs*, the film's narrative framing is accompanied by pictorial frames-within-frames. This extensive framing acts to contain the narrative, to provide the spectator with the assurance that what we are watching has a beginning and an end, with closure and resolution expressed in familiar narrative and visual forms. The incorporation of this strong type of reassurance into the structure of the film arguably mitigates the intensity of emotion provoked by events in its narrative – in particular the parts of the film that lead up to and include the death of Bambi's mother. Shot/reverse and point-of-view shots enhance spectatorial identification with Bambi, so increasing involvement with, and reaction to, the events depicted on the screen. The combination of narrative technique and evocation of unconscious mental processes becomes tolerable in psychoanalytic terms only when balanced by formal elements that reassure the spectator that it is 'only a film', that the film

has set out a self-contained fictional world and that it has a beginning and a happy ending.

The significance of boundaries is emphasised further in *Bambi* by the frequent references to the hazards of the open spaces of the meadow and to the safety to be found in the depths of the forest. The best foraging is in the meadow, the safest place for a deer's confinement is within the thicket. In *Bambi*, the negotiation of the boundaries set up by the film is facilitated by recurring vectors that describe the animals' movements within the cinematic frame. Generally, when we are introduced to friendly animals and spaces, either the camera or the subject moves from left to right; when animals flee danger or when disaster is shown (for example, fire spreading and animals fleeing through the forest), the reverse direction is taken. Acceptable information is depicted in the direction in which script is read in the West – it is natural and to be expected. Here, the reverse direction signals that the information and events are alien, disruptive and unnatural.

I have argued that the narratives, settings and protagonists of *Bambi* and *Snow White and the Seven Dwarfs* and *Dumbo* all embody, act out and to a degree work through the fantasies of primitive envy. *Snow White and the Seven Dwarfs* witnesses the murderous envy displayed by the (step)mother of her daughter's emerging sexuality, in *Bambi* and *Dumbo* the envy is provoked by the mother's flow of maternal goodness. If the Kleinian formulation is accepted, one may envision how the spectator's identification with Bambi may result in unconscious phantasies of complicity in the mother's death, a formulation that may explain why some individuals continue to be haunted by the film for years. At the same time, these films do work to reassure the spectator that there are ways to contain envy.

Disney's decision to excise the unpalatable facts of nature so clearly described in Salten's novel is consistent with the removal from *Pinocchio* of Collodi's frequent references to hunger and death and of the more gruesome parts of the Grimms' version of the fairy tale from *Snow White and the Seven Dwarfs.* At the same time as the stories are softened, Disney added some pedagogical lessons related to twentieth-century American mores. Some are overt, such as Thumper's mother's injunctions against speaking badly to others and against gluttony. *Bambi* also carries a strong plea against hunting wild animals which has political resonances to this day.[409] The enduring appeal of *Bambi*, however, is more closely connected to the way it encourages the spectator to work through and overcome in the imagination the fear and consequences of parental death, to accept its inevitability and role in one's own development and to survive the quotidian hazards of daily life.

[409] A. Waller Hastings. 'Bambi and the Hunting Ethos', *Journal of Popular Film and Television* 24, 1996: 53–9.

Chapter 7 Concluding Remarks

Despite the numerous social, cultural and technical changes that have occurred in the three-quarters of a century since the films considered in this thesis were made, their popularity has continued through several generations of spectators. Their frequent rerelease in different formats, the celebratory popular and scholarly books, articles, exhibitions and festival screenings that have appeared at various milestones after they were made, as well as the top three places awarded to three of the films in the American Film Institute's Top Ten American Animated Films (assigned some seventy years after the films were made) are strong indications of this enduring popularity. The technical changes include the invention of different methods of producing animated films, above all computer-generated animation, of projecting them, often in three dimensions and with multichannel digital surround sound and of watching them on modern digital devices. These changes have altered the expectations of today's spectators of what they will see when they choose to watch a contemporary animated film, and yet the early Disney feature films continue to attract audiences in traditional cinemas as well as through the use of modern digital platforms at home and on the move.

Previous enquiries into the reasons for the continuing presence of these films in the cinema and home-entertainment markets have focused either on the aesthetic qualities of the films or on the industrial components governing their success. Investigation of the industrial components has concentrated on the extensive and coordinated promotion of the films in cinemas and on the dedicated Disney television channel, along with the marketing of artefacts related to the films such as books, comics, toys, VHS tapes, DVDs and now Blu-Ray

disks. The contributions of the films' quality and industrial promotion to their success have been well documented. In this thesis the investigation is taken forward through a psychoanalytically-based consideration of the films' appeal to the conscious and unconscious minds of the spectator. It is important to stress that, as discussed in the Introduction, the term spectator is understood in this thesis as a position that is open to children and, operating through Winnicott's concept of the intermediate zone of experience, to adults as well. Moreover, I argue that the films being considered make a dual address to adults and to children, in the context of their originally being designed as family films. Significantly, the stories the films tell all concern youngsters living and growing up in remarkably fragmented and untraditional families. In three of the films, a central feature of the story is the profound harm enacted on the protagonists' mothers (death in the cases of *Snow White and the Seven Dwarfs* and *Bambi*, violent incarceration in the case of *Dumbo*) while in *Pinocchio,* the eponymous protagonist is in every sense motherless, having never had the experience of having a mother or even of being nurtured by a mother substitute. In two of the films (*Snow White and the Seven Dwarfs* and *Dumbo*) the fathers of the protagonists are absent from the diegesis and indeed are never referred to. The non-traditional constellations of the families of the films' protagonists have of course been identified in previous work but it is interesting to note that the observation has rarely given rise to research into ways in which the films engage the spectator in re-encounters with unconscious psychic processes, particularly those involved in becoming an independent and autonomous subject.

Exceptionally, however, this approach has been discussed by Ira Konigsberg,[410] who has considered the impact of several types of films on children during their 'latency' period, that is, the phase of development between the dissolution of infantile sexuality and the onset of puberty (usually between six and eleven years of age).[411] According to psychoanalytical theory, this is the stage during which feelings such as shame and disgust emerge, along with moral and aesthetic aspirations. Konigsberg identifies six categories of films commonly watched by children in this age group (and includes in his analysis two of the films considered in this thesis). He discusses these categories in terms of Freud's notion of the Family Romance,[412] of how the films represent issues of children's separation from their parents and family and of how children achieve individuation and independence and form successful peer groups.[413] Konigsberg considers the depictions of the incarceration of Dumbo's mother and the death of Bambi's mother as potentially very traumatic, particularly in the latter case because, as he comments, 'The sequence is one of irreparable loss. To the child in the audience still dependent on the mother, the scene is frightening and disturbing as he or she identifies with the experience of the young fawn. The experience itself does not help to resolve conflict, and the images internalised

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[410] Konigsberg, 'Children'.
[411] Laplanche and Pontalis, *Language*, p. 234.
[412] Family Romance is a term coined by Freud as a name for fantasies in which the subject imagines a new family for himself, one which he prefers to his real one. Sigmund Freud,1909, 'Family Romances', in Hugh Haughton (ed.), *The Uncanny*. London: Penguin. 2003: 35–42.
[413] The first of Konigsberg's categories focuses on a child's relationship with an animal (for example *Lassie Come Home (*Fred M. Wilcox 1943); the second (largely animated films) on an animal who is a child (for example, *Bambi* and *Dumbo*); the third, on young people involved in action and adventure (the *Star Wars* series (George Lucas 1977–2005)); the fourth, on an orphan girl who restores health to an ailing family (*The Secret Garden* (Fred M. Wilcox 1949)); the fifth, on a dysfunctional family that becomes functional again (*Mary Poppins* (Robert Stevenson 1964)); and the sixth, on a group of children who bond together to form their own family (*The Bad News Bears* (Michael Ritchie 1976)).

and carried away when the child leaves the theater (sic) reinforce fears and anxiety.'[414]

The films discussed in this thesis consistently focus on the relationship to the mother, whether via absence, murder or madness. In this way it is clear that the psychic terrain of the films belongs to the powerful formative unconscious processes that psychoanalysis has theorised as fundamental for the individual to work through in order to achieve mature subjectivity. The films, in part through complex mechanisms belonging to the specificity of the medium and in part through the nature of the stories depicted, mobilise a re-encounter with a range of fantasies belonging to this early relation to the mother – repeatedly evoking ambivalent, contradictory and potentially disturbing negotiations of attachment to, separation from, dependence on and separation from maternal figures. Robin Allan's description, cited in Chapter 6, of the two middle-aged guests who told him how they had been haunted all their lives by a memory of the death of Bambi's mother, gives an idea of the disturbing response that spectators may experience when watching these films – and which they may carry with them for the rest of their lives. Film scholar Peter Wollen has given a personal account of his first experience in the cinema:

> *Bambi* was the first film I ever saw and it left, no doubt, a deep mark on me, even a traumatic one. After seeing it, I repressed it, I really put it out of my mind – until one day, on the outskirts of Santa Barbara, California, I was driving down the road with friends, sitting in the back of an open car, when I looked up and suddenly had a vision of my terrifying childhood memory, right there: the forest fire in *Bambi*. At first, I didn't grasp what I had seen, but, as I recovered from the shock, I realised it was a huge drive-in movie screen right across the road and that we had happened to

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[414] Konigsberg, 'Children', p. 291.

> drive past exactly at my traumatic moment. Horror and pity – Aristotle's categories – had stayed with me, more or less suppressed, all the years which, increasingly, I spent in the cinema, without ever thinking back to my trauma. When I did, after my Santa Barbara 'return of the repressed', as Freud would say, I started to realise that the horror and pity were not simply explicable in terms of the little Disney deer. There was something else at stake. *Bambi* was made during the war and, in a hidden sense, it was a war film. In fact it was released in August 1942, at the onset of the Battle of Stalingrad.
>
> My own memories of the war – a little later, when I lived in a small industrial town in the North of England, just south of Manchester -- were of air-raids: what has become generically known as the Blitz. I remember the sirens, when I had to get out of bed and go down into the closet under the stairs, or crouch under the table in the larder, listening to the buzz of the rocket bombs overhead, aimed at Manchester, but often straying off-course to fall on Macclesfield.[415]

I do not suggest that these two anecdotes amount to formal audience research but they are examples of a phenomenon that may be quite widespread in terms of childhood and cultural memory.[416] I draw attention to them here to illustrate the lasting impact Disney's animated feature films may have and how, for many decades, disturbing memories of them may be ever present or, alternatively, lie buried in the unconscious mind and apparently forgotten until evoked by a later experience.

In this thesis I argue that the threatening events depicted in Disney's early feature films evoke unconscious mental processes in the spectator to which she or he may respond, or may use to work through her or his own unconscious existential dilemmas and, at a conscious level, take encouragement from the

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[415] Wollen, 'Alphabet', p 3.
[416] A number of similar remembered responses to *Snow White and the Seven Dwarfs* are recorded in Kuhn, 'Cinematic'.

films' happy endings. This argument represents a novel approach to understanding how these films have continued to engage fresh generations of viewers over so many years. The psychoanalytical investigation of the films and the impact they may have on the spectator is preceded in this thesis by an analysis of their prefilmic provenance in earlier popular and literary media and also of their narrative characteristics. The former helps to situate their stories historically and the latter to investigate narrative features of the stories common to the four films and to assist in opening them up to interpretative discussion. The method of narrative analysis employed, based on the principles developed by the folklore scholar Vladimir Propp, was selected because the stories in two of the films were based on fairy tales; moreover, as shown in other studies, film narratives not based on folk tales or fairy stories have also proven amenable to this type of investigation. The analysis distinguishes narrative from non-narrative components of the story and allows the duration of screen time allotted to each to be measured. This measurement, which may serve as a proxy for the relative significance of the two components, proves of particular interest in relation to *Snow White and the Seven Dwarfs,* for example, because of the large amount of screen time allotted in that film to issues that do not contribute to the narrative flow. The prolonged and repetitive cleaning away of dirt from the cottage, from the Dwarfs and from their clothes, similarly in *Pinocchio,* the repeated and numerous images of clocks and the way they are stopped and started, are both extra-narrative discursions that are entirely Disney's invention and do not occur in the published sources upon which the films were based. It is intriguing and striking that just below the surface of scenes considered to be so much part of the life-enhancing magic that has made Disney's films such popular family entertainment, there may lurk disturbing fantasies of disease and death. Indeed, one of the key contributions of this thesis is to reveal and examine the presence

in these films of sustained preoccupations with death, mortality and contamination and with a conflicted relation to the maternal. Previous studies of Disney's early animated feature films have not identified the salience of these themes.

The key features of the interpretative methodology employed here are, first, the investigation of the films' plots, particularly as they embody concerns about family cohesion, intergenerational conflict and the death of parents (predominantly the mother), concerns which, I argue, address – and perhaps evoke – unconscious processes and fantasies related to early development of the spectator's subjectivity. Second, the thesis addresses issues of spectatorial engagement. The few previous studies of Disney's films that have used psychoanalytic theory for interpretative analysis have tended to draw on the classic Freudian model.[417] The present study, too, draws on the classical model but, additionally, it deploys a number of post-Freudian theories because, it is argued, such approaches allow for deeper, more nuanced and more illuminating analysis of the early psychic processes that, I argue, saturate the films with respect to both their content and their form. Turning to object-relations theory has allowed the analysis to complement the Freudian paradigm and to focus on fantasies and processes that are thought to operate earlier than the mechanisms at play in Freudian theory. The psychic relation to the mother is the fundamental premise of Kleinian thought, as is the role of death in the psyche, and so an approach through object-relations theory provides a helpful model to understand the films' latent preoccupations. In this way, the absence of fathers, and indeed of father figures, in these films and the emphasis on the relation to the mother call

[417] David I. Berland, 'Disney and Freud: Walt Meets the Id', *Journal of Popular Culture* 15, 1982: 93–104; Brunette, *Snow White*, pp. 69–73; Hall, 'Bambi on Top', pp. 120–5.

for a psychoanalytical approach that foregrounds pre-Oedipal dynamics – hence the attraction of the object-relations model for exploring the issues of attachment and separation worked through in these films and for understanding in particular the unconscious workings of envy and of ego protection through projection, projective identification and splitting, defence mechanisms that are related to early attachment to the mother and which are primarily theorised by the object-relations school of psychoanalysis.

Psychoanalytic film theory has until recently tended to rely largely on the Freud/Lacan paradigm but in the last few years object-relations theory in its various forms has appeared in an increasing number of scholarly papers, websites and books on Film Studies. Kleinian object-relations theory, for instance, is especially helpful for exploring the operation of mother-daughter envy, as displayed so obviously in the relationship of Snow White and her stepmother. However, the attempt to understand the appeal of the films under consideration has not been restricted by adherence solely to Kleinian psychoanalytical theory. As noted above, where it has been considered helpful, concepts associated with the contributions of Sigmund Freud are invoked, as are Lacan's mirror stage and D.W. Winnicott's theories of mother-child attachment. The justification for this inclusive approach is that while each of the methodologies produces compelling insights, no single critical paradigm is definitive. Indeed, while psychoanalysis may illuminate many aspects of the relation of the spectator to the film text, it is by no means the only source of insight in this area, and for this reason due attention is paid in this thesis to the folkloric and literary origins of the stories and their narrative structures as well as to selected aspects of the production of the films. Where appropriate, I have also called upon ideas emanating from cognitivist film theory – for example, in thinking

about how emotion is transmitted between Dumbo, Dumbo's mother and Timothy and between those characters and the spectator. I contend that a pluralistic approach that derives nourishment from more than one frame of reference provides complementary readings of both the film texts and their effects on the spectator – and in a manner that is fully consistent with the psychoanalytic notion of over-determination.

The issue of spectatorial engagement with the cinematic experience is one that has been the subject of recent – and current – research within film studies. As noted in Chapter 1, included among the theoretical positions adopted here are the states of mind and processes of thought and emotional reactions that feature in the work of the psychoanalyst Donald Winnicott.[418] In identifying a number of specific features of the engagement with transitional processes, Annette Kuhn has drawn attention to the temporary suspension of boundaries between the self and its objects and to an oscillation, or shifting of the boundaries, as opposed to maintaining fixed and stable structures.[419] The remarkable attention to boundaries that form frames around the narratives of each of the Disney films, as well as the visual frames around many image compositions within the films, is discussed in Chapters 2 and 3. The frames to which I refer are narrative (for example the fairy-tale opening ('Once upon a time…') and closing ('They lived happily ever after.') of *Snow White and the Seven Dwarfs*), musical (the same song is heard at the beginning and end of *Bambi*) and visual (the leather-bound book that opens and closes *Snow White*). The proposal made in Chapter 3 is that the multiple framing assists the spectator to delineate the world of the film – into which, having willingly suspended

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[418] Kuhn, *Little Madnesses*; Winnicott, *Playing*.
[419] Kuhn, 'Thresholds'.

disbelief, s/he has inserted her or his self through identification with the protagonists – from the world in which s/he, the spectator, actually lives. Framing and its functions are discussed in a parallel way by the psychoanalyst Marion Milner in her book on the unconscious processes she considered to be at work as she learned how to paint:

> Frames can be thought of both in time as well as in space, and in other human activities besides painting. An acted play is usually, nowadays, framed by the stage, in space, and by the raising and lowering of the curtain in time. Rituals and processions are usually framed in space by barriers or by the policemen that keep back the onlookers. Dreams are framed in sleep and the material of a psychoanalytic session is framed both in space and time. And paintings, nowadays, are usually bounded by frames. But wall paintings are not, and when the wall is the wall of a cave, the painted image must come nearer to the hallucinated images of dreams. Thus when there is a frame it surely serves to indicate that what's inside the frame has to be interpreted in a different way from what's outside it; for painters nowadays do not seem so concerned to achieve a near hallucination. Thus the frame marks off an area within which what is perceived has to be taken symbolically, while what is outside the frame is taken literally.[420]

Milner's description of the borderless painting on the wall of a cave, with its closeness to 'the hallucinated images of dreams', is consistent with the point made in Chapter 3 that an important role of the multiple framing in the Disney feature films is in containing the spectator's anxiety and discomfort and how, when such a frame is breached, rather than being contained, the spectator's unease may actually be provoked.

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[420] Marion Milner, 'The Ordering of Chaos 1957', *On Not Being Able to Paint*, 2nd edn. Los Angeles, CA: Jeremy P. Tarcher, 1983: 148–65.

In his discussion of transitional phenomena, Winnicott proposed that the mental state of the child associated with playing is one where objects are still connected to the mother but simultaneously autonomous, where objects belong to both internal and external worlds. Further, Winnicott argued that this potential space forms the template for adult cultural experience.[421] The last of these proposals provides the bridge across which Winnicott's concepts of transitionality have entered contemporary psychoanalytic film theory. Konigsberg's claim that

> The deepest pleasure of film arises from a kind of negotiation between me and the world out there, a synthesis of the me and not-me, a process of both identifying with and feeling separate from the objects on the screen[422]

echoes the proposals set out by Annette Kuhn in the paper cited above.[423] They are also consistent with the concept of a 'pensive' spectator, as set out by Laura Mulvey in her account of the active spectatorship offered by the new digital technologies for watching films.[424] While relevant only to the present day viewer of these films, in Mulvey's formulation the pensive spectator may be considered, in a Winnicottian sense, to be playing as she or he slows, skips and speeds up the film that is being watched on one of the now ubiquitous digital devices. In the introductory chapter of this thesis, I argue that, for the spectator, the characters in the animated films discussed here may be regarded as functioning as transitional objects, a position that Konigsberg claims is reinforced by the frequent and widespread marketing of the characters as toys that 'are even more transitional because they have no single originary source but are repeated over and over

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[421] Winnicott, 'Location'.
[422] Konigsberg, 'Children' p. 280.
[423] Kuhn, 'Thresholds'.
[424] Mulvey, *Death*..

again from theater to theater, venue to venue, and artifact to artifact' (sic).[425] This intriguing claim moves the argument on to a consideration – beyond the purview of this thesis but one that would reward further research – of the links that might be uncovered between the Disney corporation's strategy of film promotion and the insights that can be gleaned from the recent developments in psychoanalytic film theory. An approach that is sympathetic to this suggestion has recently been set out by Matt Hills in his discussion of fandom and transitional phenomena in relation to two films that he notes are repeatedly re-watched, namely *Blade Runner* (Ridley Scott 1982) and *Inception* (Christopher Nolan 2010).[426]

Winnicott's comments on the paradoxical nature of transitional objects resonate with the inherent, paradoxical illusions that characterise animated film – illusions which, like those discussed by Winnicott, necessarily go unchallenged. The multiple magical transformations in *Pinocchio* form an intrinsic part of the film's narrative and seem to fit logically into the story, namely the paradox of a boy who is not a boy at the same time as he is a puppet that is not a puppet goes unchallenged as the spectator responds as if to a Winnicottian transitional object. The illusions containing these transformations allow the spectator to move in and out of the realms of fantasy and playing, so adding to the enjoyment of the cinematic experience. Perhaps the most intriguing paradox, and one which seems to have elicited no comment that I have been able to detect in the literature of Disney studies or of animation, is the oxymoron of Disney's animation of death. The inert bodies of Snow White and of Pinocchio are both shown on the screen, from which state they both very shortly – and jubilantly – come to life.

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[425] Konigsberg, 'Children', p. 281.
[426] Matt Hills, 'Recoded Transitional Objects and Fan Re-Readings of Puzzle Films', in Annette Kuhn (ed.) *Little Madnesses: Winnicott, Transitional Phenomena and Cultural Experience*. London: I.B. Tauris, 2013: 103–20.

The processes of film animation and animated films, are, *sui generis*, topics which invite consideration in relation to the recent advances in psychoanalytic film theory. Drawn animation in the Disney style involves rendering imaginary three-dimensional objects into two-dimensional drawings, using colouring and shading to give the images a certain sense of depth and then photographing them with the multiplane camera to enhance yet further the illusion of depth. The depiction of mirrors and mirror images provide more illusory depth cues – a series of illusions the spectator readily accepts and which the Disney style, particularly in the feature films studied here, rarely troubles to subvert. This area seems one that is appropriate for further consideration in relation to transitional phenomena but one that is, it is accepted, unresolved at the present time and beyond the scope of the present investigation.

As already noted, analysis of the films under consideration in this thesis unearths melancholy concerns with harm enacted on mothers. Also, and relatedly, a concern with death soon becomes apparent. These are themes that run explicitly and implicitly through all four films. The concern with death first becomes apparent in *Snow White and the Seven Dwarfs* with the Queen's two attempts to murder her stepdaughter. I argue, however, that the concern is also present but concealed within the overtly cheerful but excessively prolonged and repetitive extra-narrative scenes that depict the elimination of dirt. I construe the cleaning that takes up so much screen time as symbolising an attempt to avoid contamination by germs, by microbes that may cause fatal or paralysing illness but which, in psychoanalytic terms, are also part objects that symbolise contamination with murderous thoughts of revenge. The repetitive cleaning may, in a Kleinian formulation, be interpreted in yet another way, as an enactment of reparation for the vengeful harm Snow White has (unconsciously) been perceived

by the spectator to have wished on the Queen. In the latter reading, the excessive cleaning symbolises an acting-out of Snow White's attempt to repair good internal objects, fragmented as a result of the terrifying realisation of her own (step)mother's murderous intentions. *Pinocchio* too is saturated with melancholy concerns. Some of them are overt and spring straight from unresolved moves within the story, in which wicked acts and the perpetrators of the wicked acts go unpunished. Victims are abandoned by the story's protagonists and also by the story itself and the spectator is left to worry about what has become of them and what the unconstrained villains might do next. I also argue that the film's multiple images of clocks and the arrest of time enacted by Jiminy Cricket constitute a fantasy that one can be rescued from the inevitability of death through manipulating time. In the case of Pinocchio himself, the rescue is through the magical process of parthenogenesis – that is, by the magical creation of life by one's self, unaided by any other.

The most overt enactment of death in the films is, of course, that of Bambi's mother, a moment of filmic crisis that, it may be argued, is so embedded in our cultural memory that it suggests some deep purchase on the film's spectators. On one level, the withholding of the on-screen display of the moment of death may be seen simply as an adherence to the conventions of ancient Greek tragedy. At the same time, the refusal to permit the spectator to view the event might suggest that the sight is so devastating that, as in the story of the Medusa, one dare not look directly at it for fear of the dreadful effect it might have.[427] Yet what is intriguing in the film's depiction of the event (or perhaps more

[427] In the Greek myth, looking directly at the Medusa's face turned the onlooker to stone. For Freud, writing in an essay that was published posthumously, the Medusa was 'the supreme talisman who provides the image of castration – associated in the child's mind with the discovery of maternal sexuality – and its denial' (Freud, 'Medusa's Head').

accurately, its non-depiction of the event) is the lack of affect and emotion actually displayed on-screen, particularly when compared with the copious displays of emotion from Dumbo when he is separated from his mother. After Bambi learns that his mother has been killed, he sheds a solitary tear and glances back only once – and yet it is this moment that seems to be the prime focus for spectatorial emotion, tears and distress. Perhaps the power of this scene has to do with its simultaneous evocation of the spectator's existential dread of losing her/his mother and her/his unconscious knowledge of the inevitability of this psychic loss if one is to progress through the Oedipal stages of development and assume one's expected role in society as an adult. In the Kleinian account set out in Chapter 5, the proposal is made that it is what the spectator fantasises as Bambi's complicity, and through identification with Bambi, the spectator's unconscious fear of his or her own complicity, that makes the scene so persistently haunting. Thus in addition to the conscious shock caused by the actual death, the film evokes an unconscious but even more disturbing fantasy of the spectator's involvement in the death. Notwithstanding the comments of Ira Konigsberg quoted earlier, however, there is an important emancipatory ending to the film in that Bambi survives and, in finding his own partner and assuming the parental – and paternal – role, he goes on to complete successfully the plot's Oedipal trajectory. In this way the film is able provide closure and a happy ending.

One of the results of the psychoanalytic interpretative approach employed in this thesis is the suggestion that the received understanding of the films has been undermined. I do not suggest that the contributions by acknowledged scholars of the Disney *oeuvre* be replaced but rather that their insights can be productively supplemented by the findings of a different methodological

approach. For example, Zipes' interpretation of the political implications of the patriarchal attitudes on display in *Snow White and the Seven Dwarfs*, and of the compliance of the puppet-boy and the material commodification exemplified in *Pinocchio* are essential for understanding these films. Beneath the notion of Pinocchio as a consumer of material products, however, the analysis deployed here exposes an existential fear of death – that is, the fantasy of *Pinocchio* as a consumer of time – of which, of course, in reality there are no second helpings. The unconscious themes uncovered by the psychoanalytic approach undertaken here do, in my submission, add to understanding of the way the films tap into universal dilemmas that transcend the particularities of the times and circumstances in which they were made.

The Disney company has gone on to produce many more animated films that focus on dysfunctional and incomplete families and on wounded parents. For example, Simba in *The Lion King* (Roger Allers, Rob Minkoff 1994) is implicated in the death of his father, the Moggies in *The AristoCats* (Wolfgang Reitherman 1970) are fatherless; Cinderella in the film of that name (Clyde Geronimi, Wilfred Jackson Hamilton Luske 1950), Ariel in *The Little Mermaid* (Ron Clements, John Musker 1989), Belle in *Beauty and the Beast* (Gary Trousdale, Kirk Wise 1992) and Giselle in *Enchanted* (Kevin Lima 2007) are all protagonists without mothers. It appears that the type of families on display in Disney's animated feature films, as in many books written specifically for children,[428] must have considerable appeal, especially for their young readers and viewers. I speculate that, as in the four films that have been studied here, the more recent films camouflage a considerable amount of unconscious and disturbing fantasy. For this argument to

[428] See for instance the analysis of children's literature by Margaret and Michael Rustin in *Narratives*.

be sustained, however, I argue that further work is called for, along the lines taken in this thesis. The words of the father of psychoanalysis capture the thought exactly:

> The fragments of understanding offered here, which were arduous enough to bring to light, may not be very satisfactory in themselves, but other investigators may still use them as a starting point for their work, and common endeavour may succeed in an undertaking that perhaps exceeds the power of the individual.[429]

[429] Freud, 'Some Remarks'.

Filmography

Adaptation dir. by Spike Jonze (Sony Pictures, 2002)

Alice in Wonderland, dir. by Clyde Geronimi, Wilfred Jackson, Hamilton Luske (Walt Disney Productions**,** 1951)

Alien, dir. by Ridley Scott (Twentieth Century Fox Productions, 1979)

Annie Hall, dir. by Woody Allen (Rollins-Joffe Productions 1977)

AristoCats, The dir. by Wolfgang Reitherman (Walt Disney Productions, 1970)

Bambi, dir. by David Hand (Walt Disney Productions**,** 1942)

Battle for Algiers, dir. by Gillo Pontecorvo (Igor Film. Casbah Film, 1966)

Beauty and the Beast, dir. by Gary Trousdale, Kirk Wise (Walt Disney Pictures, 1991)

Big Sleep, The dir. by Howard Hawks (Warner Bros., 1946)

Blade Runner, dir. by Ridley Scott (Ladd Company 1982)

Blue Light, *The* dir. by Leni Riefenstahl, Béla Balázas (Leni Riefenstahl Produktion, 1932)

Breaking the Waves, dir. by Lars von Trier (Canal +, 1996)

Carefree, dir. by Mark Sandrich (RKO Radio Pictures 1938)

Cinderella, dir. by Clyde Geronimi, Wilfred Jackson, Hamilton Luske (Walt Disney Productions, 1950)

Citizen Kane, dir. by Orson Welles (Mercury Productions, RKO Radio Pictures, 1941)

Cricket on the Hearth, The dir. by Lorrimer Johnston (Paul Gerson Pictures Corporation, 1923)

Crying Game, The dir. by Neil Jordan (Channel 4 Films, 1992)

Der Golem, wie er in die Welt kam, dir. by Carl Boese and Paul Wegener (Projektions-AG Union, 1920)

Do the Right Thing, dir. by Spike Lee (40 Acres and A Mule Filmworks, 1989)

Dr Jekyll and Mr Hyde, dir. by Rouben Mamoulian (Paramount Pictures, 1931)

Dumbo, dir. by Ben Sharpsteen (Walt Disney Productions**,** 1941)

E.T. the Extra-Terrestrial, dir. by Steven Spielberg (Universal Pictures, 1982)

Enchanted, dir. by Kevi Lima (Walt Disney Pictures, 2007)

Fantasia, dir. by James Algar et al (Walt Disney Pictures, 1940)

Frankenstein, dir. by James Whale (Universal Pictures, 1931)

Flowers and Trees, dir. by Burt Gillett (Walt Disney Productions 1932)

Fun and Fancy Free, dir. by Jack Kinney, Hamilton Luske, Bill Roberts, William Morgan (Walt Disney Productions**,** 1947)

Goldilocks and the Three Bears, dir. by Hugh Harman, Rudolf Ising (Metro-Goldwyn-Mayer, 1939)

Gone with the Wind, dir. by Victor Fleming (Selznick International Pictures, Metro-Goldwyn-Mayer, 1939)

Good Night and Good Luck, dir. by George Clooney (Warner Independent Pictures (WIP), 2005)

Harry Potter and the Philosopher's Stone, dir. by Chris Columbus (Warner Bros. 2001)

Harry: He's Here to Help, dir. by Dominik Moll (Canal +, 2000)

Il etait Une Fois…Walt Disney, dir. by Samuel Doux (Agence Photographique de la Réunion des Musées Nationaux, Paris, Arte, Les Films d'Ici, 2006)

Inception, dir. by Christopher Nolan (Warner Bros., 2010)

Ivan the Terrible Part I, dir. by Sergei M. Eisenstein (Mosfilm, Tsoks, 1944)

Ivan the Terrible Part II, dir. by Sergei M. Eisenstein (Mosfilm, Tsoks, 1958)

Jungle Book, The, dir. by Wolfgang Reitherman (Walt Disney Productions, 1967)

Lambert, the Sheepish Lion, dir. by Jack Hannah (Walt Disney Productions, 1952)

Last Year at Marienbad, dir by Alain Resnais (Cocinor, Terra-Film 1961)

Lion King, *The* dir. by Roger Allers, Rob Minkoff (Walt Disney Productions, 1994)

Little Mermaid, The dir. by Ron Clements, John Musker (Walt Disney Pictures, 1989)

Mad Doctor, The dir. by David Hand (Walt Disney Productions, 1933)

Man with a Movie Camera, dir by Dziga Vertov (VUFKU, 1929)

Mandy, dir. by Alexander Mackendrick (Ealing Studios, 1951)

Maytime, dir. by Robert Z. Leonard (Metro-Goldwyn-Mayer, 1937)

Meet Me in St Louis, dir. by Vincente Minnelli (Metro-Goldwyn-Mayer, 1944)

Mickey's Parrot, dir. by Bill Roberts (Walt Disney Productions**,** 1938)

Moving Day, dir. by Ben Sharpsteen (Walt Disney Productions, 1936)

Mulholland Drive, dir. by David Lynch (Asymmetrical Productions, 2001)

Of Mice and Men, dir. by Lewis Milestone (Hal Roach Studios, 1939)

Old Mill, The, dir. by Wilfred Jackson (Walt Disney Productions, 1936).

Ordinary People, dir. by Robert Redford (Paramount Pictures, 1980)

Perri, dir. by Paul Kenworthy, Ralph Wright (Walt Disney Productions**,** 1957),

Persona dir. by Ingmar Bergman (Svensk Filmindustri, 1966)

Peter Pan, dir. by Clyde Geronimi, Wilfred Jackson, Hamilton Luske (Walt Disney Productions**,** 1953)

Pinocchio, dir. by Hamilton Luske, Ben Sharpsteen (Walt Disney Productions**,** 1940)

Purple Rose of Cairo, The dir. by Woody Allen (Orion Pictures Corporation, 1985)

Ratcatcher dir. by Lynn Ramsey (Pathé Pictures International, 1999)

Riveter, The, dir. by Dick Lundy (Walt Disney Productions, 1940)

Romeo and Juliet, dir. by George Cukor (Metro-Goldwyn-Mayer, 1936)

Schindler's List, dir. by Steven Spielberg (Universal Pictures, Amblin Entertainment, 1993)

Secrets of a Soul, dir. by George Wilhelm Pabst (Naumann-Filmproduktion, 1926)

Seventh Continent, The dir. by Michael Haneke (Wega Film, 1989)

Shaggy Dog, The dir. by Charles Barton (Walt Disney Productions**,** 1959)

Simpsons Movie, *The* dir. by David Silverman (Twentieth Century Fox Film Corporation, 2007)

Sleeping Beauty, dir. by Clyde Geronimi (Walt Disney Productions**,** 1959)

Snow White and the Seven Dwarfs, dir. by David Hand (Walt Disney Productions**,** 1937)

Snow White, dir. by Dave Fleischer (Fleischer Studios, 1933)

Snow White, dir. by J. Searle Dawley (Famous Players Company, 1916)

Sound of Music, dir. by Robert Wise (Robert Wise Productions, Twentieth Century Fox Film Corporation, 1965)

Steamboat Willy dir. by Walt Disney, Ub Iwerks (Walt Disney Productions 1928)

Three Little Pigs, dir. by Burt Gillett (Walt Disney Productions, 1933)

Truman Show, The, dir. by Peter Weir (Paramount Pictures, 1989)

Ugly Duckling, *The,* dir. by Wilfred Jackson (uncredited) (Walt Disney Productions, 1931)

Where is the Friend's Home?, dir. by Abbas Kiarostami (Kanoon, 1987)

Discography

Unless otherwise stated in the legends to the figures, all illustrations were obtained from the DVDs specified below, using Cyberlink PowerDVD, Version 9.0.3608.51 running on an HP Compac dc 5800 Microtower computer, using the Windows Vista Business Operating System. The Cyberlink program was also used for viewing the films and compiling the data for timing segments and shots.

Bambi 1942, Walt Disney Home Entertainment, Platinum Edition.

Blue Light, *The* 1932, The Leni Riefenstahl Archival Collection, Pathfinder Home Entertainment.

Dr Jekyll and Mr Hyde 1931, Warner Home Video.

Dumbo 1941, Walt Disney Home Entertainment, Platinum Edition.

Ivan the Terrible Part I 1944, The Criterion Collection 86.

Pinocchio 1940, Walt Disney Home Entertainment, Platinum Edition.

Romeo and Juliet 1936, Warner Home Video.

Snow White and the Seven Dwarfs 1937, Walt Disney Home Entertainment, Platinum Edition.

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Appendix 1

Table 1.1 Shot Analysis of Segment A of *Snow White and the Seven Dwarfs*

seg	Shot No.	Contents	Music/Song/Dialogue	Edit	dur
A1	1	Closed white book with gold braid. Title in Gothic script. (Seven Dwarfs depicted in braid but not Snow White)	Extradiegetic music (EDM) of 'Someday My Prince Will Come'		6
	2	Book opens. 3D effect achieved with forward zoom	ditto	dissolve	6
	3	Illuminated Gothic script (page 1 of back story: 'Once upon a time…'	ditto	cut	36
	4	Page turns to reveal page 2 of back story in Gothic script; shadow moves across page	ditto	fade to black	10
A2	5	Outside the castle: establishing long shot, becomes multiplane forward zoom. Clouds move left to right across sky	EDM	dissolve	2
	6	Camera closer, forward multiplane zoom to bay window in tower	EDM	dissolve	3
	7	Inside the castle: long shot from behind Queen (moving away from camera) as she ascends steps to mirror (initially no reflection seen). reflection appears as she raises arms	EDM	cut	8
A3	8	Long shot view from mirror as the Queen asks her question. Wind rises and billows her gown. Thunder and lightening	EDM. Queen: 'Slave in the magic mirror…I summon thee…	cut	9
	9	Flames in mirror, then genie's face (as mask) appears in mirror in medium close-up (Queen's point of view (PoV))	EDM. Queen 'let me see thy face' Genie:' What wouldst thou know my Queen?' Queen:' Magic mirror…	cut	10
	10	Angled medium long shot of Queen addressing mirror (not Genie's PoV)	EDM …on the wall…who is the fairest one of all?'	cut	4
	11	Semi close-up of Genie in mirror (Q's PoV) (closer than 9)	EDM Genie: 'Famed is thy beauty…alas she is	cut	18

			more fair than thee.'		
	12	Semi close-up of Queen, raising arms and then crossing them (Genie's PoV)	EDM Queen: 'more fair than me?...reveal her name'	cut	5
	13	Medium shot of Genie in mirror: (Queens' PoV), as in 11	EDM G: 'lips red as rose' (NB not blood)	cut	6
	14	Side half-length view of Queen expressing shock and amazement	EDM Q: 'Snow White!'	dissolve	3
A4	15	Long shot (tilted down and to left) of Snow White sitting, scrubbing steps, blossoms, surrounded by doves. Short backward zoom followed by pan to right to follow Snow White as she walks left to right towards Well	EDM; Snow White humming	match cut	17
	16	Long shot of Snow White in full length as she pulls bucket from the Well	EDM; Snow White humming. Creaking well pulley	cut	17
	17	Shot of five doves on Well		cut	9
	18	Full length shot of Snow White picking bucket from Well. zoom forward to Snow White	Snow White sings to birds: 'Wanna know a secret?'	cut	1
	19	Closer shot of doves on Well	Birds warbling 'we are standing by a wishing well	cut	11
	20	Snow White in medium shot, slight downward tilt, slightly to left of frame, looking to right at doves	make a wish into the well…	cut	7
	21	Snow White in wider angle showing her behind Well and doves Birds fly away	…and if you hear it echoing, you wish will soon come true. I'm wishing…for the one I love…to find me…' echoed each time.	cut	13
	22	Birds land again on Well	Snow White continues singing, with echoes	cut	6
	23	Side view, medium shot Snow White to left of frame	ditto	cut	4
A5	24	Long shot: Prince arrives on horseback, moves to right, along side wall of castle (multiplane pan)	ditto	cut	9
	25	Semi close-up side view of Snow White, to left of frame, singing and looking into Well cf 23	ditto	cut	2
	26	Long shot, Snow White seen from bottom of Well (from beneath surface), Snow White at 7 o'clock, birds 10–3 o'clock, water splashes onto reflected image (PoV cf 8)	ditto	cut	3
	27	Long shot, upward tilt: Prince appears at the top of the wall, which he climbs over	ditto	cut	4
	28	Long shot, slight high angle: Snow White and 6 birds singing down the Well; forward zoom to Snow White (Prince's PoV)	ditto	cut	4

	29	Long shot looking up Well, Snow White at 7 (matching position in shot 26), Prince appears at 5 o'clock	Snow White:'…for the one I love to find me today.' Prince sings: 'Today	cut	4
A6	30	Medium shot of Prince (left) and Snow White (right) behind the Well and doves (Cf shot 21), She runs to right, camera pans to right to follow her	Prince speaks: 'Hello. Did I frighten you?	cut	6
	31	Long shot, high angle, Snow White runs up steps of castle, through door which she shuts; camera pans and tilts up to right to window (3 birds on sill, Snow White appears briefly in window) and then pan tilt to balcony, with Snow White peeping from behind curtain	Prince speaks: 'Wait!...please don't run away' Prince sings 'Now that I've found you, hear what I have to say. One song…	cut	6
A7	32	Semi close-up low angle shot of Snow White smiling and listening to Prince's song	…'I have but one song	cut	2
	33	Long shot, high angle to right of Prince singing, framed by blossom tree, looking up to right	repeats 'I have but one song	cut	
	34	Snow White, full length, seen sideways from left, indoors looking out and down to Prince, Snow White PoV touches dress and shyly walks out on to balcony	…one heart tenderly needy	match cut	3
	35	Long shot, Snow White appears from right onto balcony, walks to edge and looks down and to left	…	cut	4
	36	Long shot, high angle to left, Prince looking up to right singing to Snow White. blossoms	…constant and true…	cut	4
	37	Medium long shot downward tilt, Snow White on balcony looking down at Prince singing, pan to left, tilts upwards and to a full length image of Queen (lit from behind) in her closed bay window	…one love has possessed me…	cut	3
A8	38	Medium shot of Queen, centre of frame, watching with furious look, face seen through window lattices, closes curtains	…one love	cut	9
	39	Long shot, high angle to left, Prince singing (reprises shot 36) from Snow White's PoV	…	cut	8
	40	Medium shot low angle to right, Snow White on balcony puts out hand for dove to land on, kisses bird and sends it flying back to Prince, pan down and to left to Prince	…	cut	2
	41	Medium shot of Prince, left of frame, extends arm to bird	…	cut	4
	42	Close-up of Prince's hand, with dove on it centre frame. Coy dove blushes	…only for you.' Dove coos	cut	5

	43	Medium shot of Prince as bird flies off his hand	Music ending	cut	3
	44	Full length low angle, Snow White on balcony, closes curtain	Music ends	fade to black	

Table 1.2 Shot Analysis of Segment D of *Snow White and the Seven Dwarfs*

Seg	Shot no.	Contents	Music*/song/dialogue	Edit	Dur
D1	1	Establishing long shot of castle at night, zoom to lit tower window		dissolve	9
	2	Closer shot, zoom continues towards centrally framed window		dissolve	5
	3	Behind window, inside castle room: close up of box held by Q, reverse zoom to reveal her in semi-close up, doubly framed by curtains and pillars	'Magic mirror on the wall, who is *now* the fairest one of all?'	cut	9
D2	4	Close up Genie in mirror	'Over the seven jewelled hills…dwells Snow White, fairest one of all.'	cut	16
	5	Queen as in 3; proffers box for genie to see	'Snow White lies dead in the forest…behold her heart.'	cut	11
	6	Genie as in 4	'…it is the heart of a pig you hold in your hand.'	cut	10
	7	Queen looking into box, facing to right of frame, zoom to close up as Queen strides forwards and to right of frame	'The heart of a pig. I've been tricked.'	dissolve	5
D3	8	Medium long shot spiral staircase to dungeon, Queen (Q) enters centre frame to descend to right, crosses to continue descent to left, pan down, Q, preceded by her shadow, appears moving to right; Q double-framed (foreground by chain and skull, background by walls surrounding stairs). Skeleton chained by neck to wall. Q walks to left, left pan to follow her, enters dungeon door		cut	20
	9	In dungeon room, lit by candle on table, on which there is a book, skull, raven and sand clock; raven leans forward casting shadow (from candle) on wall		cut	2
	10	Queen, centre frame (framed by stone arch containing door), in Semi-close up holding box in front of her, throws box to right of frame	'The heart of a pig! The blundering fool.'	cut	4
	11	Raven rises in fear	'I'll go myself...	cut	4

	12	Queen full length, doubly framed in foreground by retort, in background by door, moves to left of frame, towards	…to the Dwarfs cottage…	cut	3
	13	Close up bookshelf with books entitled (left to right) Astrology, Black Arts, Alchemy (over which her hand hovers), Black Magic, Disguises, Sorcery, Poisons. Skull/snake book ends on right. Hand picks out 'Disguises'	…in a disguise no one will ever suspect.'	cut	5
D4	14	Queen in half length, holding open candle-lit book which she places on table bookstand and looks through pages	'Now a formula to transform my beauty into a …(?)	cut	12
	15	Close up book open at page showing Peddler's Disguise, Formula Mummy's Dust. Points to 'Mummy Dust'	…change my raiment into a peddler's coat…	dissolve	4
	16	Queen in semi-full length, glass beaker in left, test tube in right hand (framed in foreground by retort on left, copper vat on right), pours black content of test tube into beaker containing clear liquid	…to make me old…	cut	4
	17	Close up test tube and glass beaker (containing black fluid), left of frame, held in Q's hand, zoom to extreme close up beaker	…to age my voice..	dissolve	5
	18	Close up retort heated by oil lamp, containing red fluid; Queen's hand turns up flame, red gases pass down retort neck to left of frame, camera pans left following bubbles, distillate drops into black liquid which turns red. Queen's hand enters from right to withdraw glass that now contains red fluid	…an old hag's cackle…to whiten my hair…	dissolve	10
	19	Glass returned with left hand, right hand opens tap on copper vat, fluid turns green, smoke rises camera pans up		dissolve	9

Appendix 2

Table 2.1 Shot analysis of Segment A of *Pinocchio*

Seg	shot no.	Contents	Music/song/dialogue	Edit	dur
A1	1	Spotlight illuminates leather-bound volume (with clasp) of *Pinocchio* (in italic script), 2 leather-bound volumes left of screen (*Alice in Wonderland* and *Peter Pan*), quill pen in ink bottle to right, spectacles and candle holder front right. spotlight moves to illuminate Jiminy Cricket, sitting astride stem of pipe next to matches, singing camera zooms upwards and towards Jiminy	Jiminy singing 'Like a bolt out of the blue, fate steps in and sees you thru'. When you wish upon a star, your dreams come true.'	cut	1
	2	Medium shot Jiminy, sitting on pipe, his shadow cast onto wall behind him (dressed in 'post dubbing' clothes) Jumps down Addresses audience while walking towards camera Stops	Jiminy speaking: 'Pretty' 'I'll bet a lot of you folks don't believe that about a wish coming true, do you? Well, I didn't either. Of course, I'm just a cricket singing my way from hearth to hearth, but let me tell you what made me change my mind.'	cut	7
	3	Medium shot: Jiminy slides down front of book, now fully illuminated. Flicks bottom clasp open and lifts cover and first page of book, to reveal framed image of an alpine village, mountains and star. Page slips backwards Pushes candle stick around to hold page open	Jiminy speaking: 'One night a long time ago. Pardon me. Wait till I fix this thing There.'	cut	4
	4	Closer shot of Jiminy in front of bottom right corner of book Camera: upward tilt and forward zoom through the book's frame into night sky, fixes on sky, bright star at top and centre of frame, with mountains at bottom of frame	'One night a long time ago, My travels took me to a quaint little village. It was a beautiful night, the stars were shining like diamonds high above the roofs of that sleepy old town. Pretty as a picture.	match	

				cut	14
A2	5	Multiplane pan obliquely to left with reverse zoom to look down on roof tops and streets at night and then shows Medium shot of 'alpine' house with lighted front window, (Jiminy's PoV) forward zoom	'As I wandered along the crooked streets there wasn't a soul to be seen. The only sign of life was a lighted window	cut	28
	6	Closer view of house with lighted window	'In the shop of a wood-carver, named Geppetto, so I hopped over	match ed cut	5
	7	Camera zooms towards window with six up and down tilts	EDM. 'And looked in'	match ed cut	4
	8	Medium shot of inside of cottage with open fire on right	'It was a shame to see a nice cheerful fire	cut	4
	9	Full length shot of Jiminy on windowsill, backward zoom (in 'tramps' clothes, i.e. bag, umbrella and hat with patch, cf shot 2)	'like that going to waste'	cut	2
	10	Medium shot window frame with toys arranged around it. Marionette slumped on shelf, bottom of frame	'So what do I do?	cut	2
	11	Camera tilts and pans as Jiminy jumps from window to door (out of vision),	'I go in	cut	6
	12	Medium shot Jiminy enters backwards through crack beneath door	EDM	cut	3
	13	Medium shot Jiminy on step, pulls his bag and umbrella under crack	EDM	cut	3
	14	Medium shot pan to right following Jiminy as he moves across interior	'I looked around Of course, being in a strange place, I didn't know what to expect A cricket can't be too careful, you know	cut match ed on action	5
	15	Jiminy looks cautiously from behind a coal scuttle, then emerges, dusts himself off,	'Soon as I saw there was no one about, I made myself at home EDM	cut match ed on action	14
	16	Long shot:... and walks jauntily across hearth in front of fireplace with glowing coals	EDM	cut	6
	17	Medium shot: Jiminy close to fire coals, warms hands, then bottom from the glow of one piece of coal he has pulled out	'As I stood there warming myself...I took a look around.	cut	7

		of the fire			
	18	Framed shot of interior of room, illuminated from behind camera, lots of toys and artefacts making the frame, zoom in to chair (Jiminy's PoV)	'Well sir, you never saw such a place	cut	5
A3	19	Static shot of nine clocks, several with pendulums which are swinging, fixed to wall	Diegetic noise of ticking. 'The most fantastic clocks you ever laid your eyes on and all carved out of wood...	cut	4
	20	Static shot of music boxes (which are neither moving nor playing music)	'And cute little music boxes, each one a work of art...	cut	5
	21	Three shelves on wall, diagonally left to right, loaded with 27 wooden toys	'And shelf after shelf of toys and...	cut	2
	22	Reprise of shot 17	'And then something else caught my eye	match cut	4
	23	Upward tilt to puppet (Jiminy PoV)	'A puppet!	cut	4
	24	Reverse zoom to reveal puppet slumped on top of chest of draws, with marionette strings coming down from top of frame. Jiminy hops up onto stool and then top of drawer	'You know, one of those marionette things, all strings and joints	cut	5
	25	Closer shot of Jiminy, with huge image of marionette behind him, legs akimbo framing Jiminy who abseils up marionette using one of the marionette's strings.	Chuckles, then 'Cute little fellow. 'Ding ding 'Going up?	cut	8
	26	Closer view as Jiminy lands on marionette's nose. Knocks on his head with umbrella Jiminy turns in fright to look directly at camera as he hears	'Good piece of wood.' Geppetto's voice: 'Well now,	cut	9
A4	27	Camera tilts and pans to right to follow Figaro, followed by Geppetto's feet, descending staircase	Figaro meows ...it won't take much longer	cut	3
	28	Reprise of 27, then Jiminy swings on marionette's string and climbs to handle holding strings and looks down at Geppetto	'Just a little more paint and he's all finished	cut	6
A5	29	Medium shot Geppetto with paint brush on left, marionette on right, paints left eyebrow	'I think he'll be all right Don't you Figaro?	cut	13
	30	Jiminy swinging on two of marionette's strings in alarm, then runs across shelf, flies across room, opens umbrella to	Geppetto humming to EDM		

		act as parachute and lands on shelf containing mechanical toys		cut	15
	31	Medium shot: Geppetto standing with right hand raised holding paint brush, painting marionette; Geppetto framed within frame	ditto	cut	3
	32	Close up on left of frame of brush being washed in wash pot, on right of Cleo in her bowl watching	ditto	cut	2
	33	Close up of paint pot in centre frame, Figaro to left of pot, G's hand holding paintbrush going out of frame to left, brush is dipped into paint and wiped	ditto	cut	4
	34	Medium shot Jiminy grinning, centre frame, watching G and leaning supported by his hand on bottom of china lady in a bustle, realises where his hand is, blushes and raises his hat	EDM Jiminy clears his throat and says: 'Beg pardon'	cut	7
	35	Medium close up of Geppetto centre frame, marionette to right, camera zooms with slight pan to show paint brush in front of marionette's face	EDM	cut	3
	36	Close up marionette's face, hand held brush paints a smiling mouth on his face	Geppetto: 'See, that makes a...	cut	4
	37	Figaro centre frame between blue (left) and red (right) paint pots	...big...	cut	1
	38	Medium close up Cleo in bowl, centre frame, edge of bowl centre left, bubbles coming out of her mouth	...difference.'	cut	1
	39	Jiminy sitting next to gargoyle, watching proceedings from above. Looks with shock and then disappointment at unsmiling gargoyle	Jiminy: 'Very good. Very, very good Well, can't please everybody.'	cut	9
	40	Full length shot of Geppetto surveying the painted marionette; Zoom into Geppetto and marionette Reverse zoom and pan to left to close up of Geppetto. Pan back to marionette	G: 'Now, I have just the name for you. Pinocchio! Do you like it, Figaro?	cut	10
A6	41	Figaro, in same space as in 38, looks disapproving and shakes head	EDM	cut	3

	42	Medium shot of Geppetto Turns to left of frame (his right) and looks across to	Geppetto: 'No 'You do, don't you Cleo?	cut	2
	43	Medium shot of Cleo in bowl looking to right of frame (towards Geppetto), shakes her head	EDM	cut	3
	44	Medium shot Geppetto, with Cleo's bowl in front of him, raises arms widely	Geppetto: 'Well, we'll leave it to little wooden head.	cut	2
	45	Medium shot Geppetto left and marionette to right, Geppetto holds string attached to his head, speaks to marionette and pulls string to make him nod	Geppetto: 'Do you like it?'	cut	4
	46	Geppetto in full length, left of frame, Cleo in bowl centre frame, Pinocchio lifeless posture on sideboard, Figaro to right of frame; Geppetto throws head back and laughs	Geppetto: 'That settles it...	cut	4
	47	Jiminy on ledge looking down, covers mouth with his hand	...Pinocchio it is...	cut	1
	48	Medium shot Geppetto centre left of frame, picks up Pinocchio and carries him to left of frame	...Come on now, ...We'll try you out...	cut	5
	49	Medium close up Jiminy on sideboard, standing in front and to right of music box, conductor and band members (accordionist, violinist and singer) on top; finger (of Geppetto) presses button, short pan to left, key on side starts to turn and band begins to 'play'. Zoom to base of music box	...Music, professor... 'Tyrolean' music comes from music box	cut	12
	50	Close up Jiminy under music box, on all fours, struggling to get out because of the loud music	Jiminy: 'Eh, ouch ouch, ouch, take it easy there, break it up, will ya lotta downbeats in there.'	cut	10
	51	Medium close up Pinocchio being held by Geppetto by his strings, who walks him across frame from right to left, camera pans left to follow, then back right to show Figaro following, then to left as Figaro follows Pinocchio, then back right as Pinocchio's foot advances on Figaro	Geppetto sings: 'little wooden head, go play your part Bring a little joy to every heart little do you know and yet it's true I might be proud of you little wooden feet, and best of all	cut	23
	52	Close up of Figaro centre frame, with Pinocchio's torso and	little wooden seat in case you fall		

		legs behind and to left of frame		cut	5
	53	Close up of Geppetto's shoe'd foot, treading on Figaro	Oh how graceful	cut	3
	54	Medium close up Geppetto standing left of frame, left foot on Figaro; Pinocchio 'dancing' right to left	My little wooden head.'	cut	2
	55	Medium close up band on music box, Jiminy standing next to conductor; jumps up in front of singer	Music box plays	cut	4
	56	Close up Jiminy facing singer, whose head nods back and forth	Singer is in fact whistling	cut	6
	57	Medium Shot Music box with Jiminy pretending to be mechanical performer, moving jerkily up and down and opening and closing his umbrella in time with the others	Jiminy humming	cut	7
	58	Medium close up Pinocchio dancing, Geppetto left of frame, is whirled round by his strings	Music from box + humming	cut	8
	59	Medium close up Cleo in her bowl, blowing bubbles	ditto	cut	2
	60	Cleo's PoV: image of Pinocchio dancing distorted by our seeing him through Cleo's bowl (she is to right of frame);	Ditto	cut	6
	61	Medium shot Pinocchio suspended outside Cleo's bowl, raises hat to her	Geppetto: 'Cleo meet Pinocchio...	cut	4
	62	Medium close up Cleo in bowl, centre frame, bubbles in water, flutters eyelids and spins round in the water	...Say, how do you do?...	cut	5
	63	Medium shot Pinocchio and Figaro, he bends and strokes him... and then gives him a great kick, Figaro slaps him back on the foot	...Say hello to Figaro... ...Oho! Up to mischief already	cut	11
	64	Close up Pinocchio with Geppetto's hand in front of his face		cut	5
	65	Close up Pinocchio Geppetto lifts his foot	...you see what happens...	cut	2
	66	Medium close up Pinocchio bumping over the floor, driving Figaro to the end of the table, he falls over, tries to get back and Pinocchio scares him	EDM Geppetto (as Pinocchio): 'Boo!'	cut	13
	67	Geppetto pulls Pinocchio up from the table into his arms	Geppetto: 'Up we go Arrh, You're	cut	5
	68	Medium close up Figaro pulls down Geppetto's right sock.	A cute little boy	cut	11

		Geppetto's hand pulls up his sock and picks up Figaro	And that smile...You rascal		
	69	Medium close up Geppetto holds Figaro by the scruff of the neck in his right hand and cradles Pinocchio in his left arm. Figaro twirls round	You know, Pinocchio, Figaro is jealous of you	cut	4
A7	70	Geppetto puts them both down on the sideboard, hears the bell and looks up	Oh don't worry Figaro, I...' Bell sounds; Geppetto 'Uh Oh'	cut	7
	71	Medium close up of top of toy clock; man is hitting bell in tower; reverse zoom to reveal a wall covered in mechanical clocks which all start working at once (all are set to 9 o'clock). Automatons began to move around the clocks	Cuckoo clock type noises	cut	8
	72	Medium close up table clock with ducks which go in and out of 'water'	Ditto	cut	
	73	Medium close up wall clock looking like flower pot, bee on extendable rod comes out and in	Ditto	cut	
	74	Medium close up clock made of duck in nest with 3 eggs, from which heads of chicks emerge and return	Ditto	cut	
	75	Clock with peacock repeatedly extending its neck so farmer can hit it with chopper	Ditto	cut	3
	76	Clock with hunter who repeatedly fires cork bullet at bird that emerges and returns to nest in tree	Ditto	cut	6
	77	'Cuckoo clock' from which drunk appears and disappears	Hiccoughing noise	cut	6
	78	Clock with mother with baby on her lap, bare bottom smacked in rhythm of clock	Child's cry as it's smacked	cut	5
	79	Medium close up Geppetto, centre frame, looks at pocket watch	Geppetto: 'I wonder what time it is'	cut	2
	80	Close up Geppetto's pocket watch, on face of which men with foaming tankards rotate	ringing noise	cut	2
	81	Reprise of 81	Geppetto: 'It's getting late...	cut	3
	82	Medium close up Figaro centre frame yawning, side view of Pinocchio to right of frame, Geppetto picks the cat up	...Come now we go to bed...	cut	1
	83	Medium long shot Geppetto, yawning, holds the cat, Pinocchio sits slumped	...Good night Pinocchio. Little funny face	cut	8

	84	Medium long shot Jiminy standing on strings of a violin, vase to right of frame, bound book to left, bow at left of frame; Jiminy yawns	...Good night...	cut	5
	85	Medium long shot Geppetto leans over fish bowl, holding Figaro and says goodnight to Cleo	...Cleo, my...	cut	3
	86	Close up of Cleo in bowl; Geppetto puts hand in water to stroke the fish, who exhales bubbles and turns upside down so Geppetto can stroke her tummy	...little water baby	cut	7
	87	Medium long shot Figaro, about to jump off table, then hears Geppetto and turns head 90 degrees to face Cleo	...Figaro, you say goodnight too...	match cut	6
	88	Medium close up Cleo in her bowl; simulates a kiss for Figaro who turns away	...Go on...	cut	5
	89	Medium close up Figaro turns back and licks outside of bowl	EDM	cut	
	90	Cleo spins around	...Now...	cut	
	91	Medium close up Geppetto's hand picks up Figaro with Cleo's bowl on right	Go to sleep my little my little mer...	cut	
	92	Medium close up Cleo swims left to right of frame, to underwater 'castle' with 'drawbridge', swims in, turns around and closes eyes Camera follows with pan left to right and then short zoom in as she settles to sleep on the 'drawbridge'	...maid ...Good night'	cut	10
	93	Medium long shot Jiminy on violin string peg, takes his coat off, makes it into a pillow, stretches out on neck and scroll of violin and yawns. Kicks his shoes off	Jiminy: 'This is my idea of comfort 'Solid comfort	cut	14
	94	Geppetto in large wood carved bed, lights his pipe with candle; closed window to right of frame and just outside it, pipe rack on wall to left; sucks three times on pipe; pan left with shallow downward tilt following G putting candle on bedside table to Figaro in his bed (covered by patchwork quilt), with carved saint-like cat at back, eyes shut; sand box to left of Figaro; deep breathing by Figaro who is obviously asleep	EDM	cut	3

	95	Close up Geppetto in bed, diagonally across frame, with pipe in left hand, spectacles on	Geppetto: 'look at...	cut	1
	96	Medium close up Figaro in bed on right side, turns over to listen to Geppetto	...him, Figaro...	cut	5
	97	Medium close up Pinocchio sitting on sideboard, eyes open, fixed smile on face	...he almost looks alive...	cut	3
	98	Reprise of 96	...wouldn't it be nice if he...	cut	7
	99	Geppetto in bed, shadow to right, cast by candle light, turns to put pipe on pipe rack	...was a real boy? Oh well...	cut	6
A8	100	Puts snuff on lit candle, scene goes dark	...Come on, we go to sleep...	cut	3
	101	Reprise of 99; Geppetto pulls the covers up	EDM	cut	2
	102	Reprise of 95; Figaro snuggles down in bed, then sits up	Geppetto: 'Oh Figaro...	cut	10
	10**3**	Reprise of 99: Geppetto looking at Figaro, points to window; camera pans to right with upwards tilt, to window in centre frame	I forgot to open the window	cut	5
	104	Reprise of 103;Figaro kicks blankets off, gets out of bed and jumps	EDM	cut matched on action	5
	105	Onto quilt on Geppetto's bed, climbs over the bed and jumps	EDM	ditto	4
	106	To window sill, climbs up it to ledge, prises open window and goes outside (now lit by starlight)and pushes window open with feet, then hands and leaps on it and swings (as if on a trapeze), works his way back to ledge,	EDM Geppetto: 'Oh Figaro, look...	cut	15
	107	Medium close up Geppetto in bed on left looking out of window, Figaro on windowsill on right, light blue light floods through window, illuminating G	...The Wishing Star...	cut	3
	108	Reprise of 94: Jiminy sits up, startled		cut	1
	109	Blue sky (through window frame) with bright star at 2 o'clock	Star light, star bright, First star I see tonight	cut	4

	110	Shot of night sky from within bedroom, Geppetto's PoV through window, star now more central, Figaro on window sill just below it, reverse zoom	I wish I may, I wish I might Have the wish I make tonight	cut	6
	111	Medium close up Figaro on windowsill yawning Figaro shakes his head	Figaro, you know what I wished?	cut	5
	112	Reprise of 108: Jiminy looking down and to left		cut	2
	113	Side view close up of Geppetto confiding to Figaro	I wished that my little Pinocchio might be a real boy	cut	4
	114	Medium close up Pinocchio sitting with fixed expression on face	EDM	cut	2
	115	Reprise of 108; Geppetto in bed; Figaro jumps from window sill to bed, pan left to follow him	Wouldn't that be nice? Just think	cut	5
	116	Side view close up Figaro on bed quilt; G strokes his head	...a real boy.'	cut	1
	117	Reprise of 112; hat and umbrella to left of frame. Jiminy sits up and addresses audience Yawns and goes back to sleep	Jiminy: 'A very lovely thought but not at all practical.'	cut	9
	118	Reprise of 117: Figaro with eyes shut. Geppetto fondles his back and falls asleep	Geppetto: 'A real boy.'	cut	11
	119	Side close up of Geppetto: Geppetto starts to snore; Figaro opens his eyes and looks around	Snoring	cut	3
	120	Figaro walks up the quilt, turns and gets under it on Geppetto's left; short reverse zoom	EDM Geppetto snores	cut	11
A9	121	Medium long shot reprise of 118; Jiminy sleeping; zoom to close up, Jiminy opens eyes and gives querulous look	Clocks ticking	cut	6
	122	Medium long shot clocks with pendulums swinging (clocks read 9.28)	Ditto	cut	2
	123	Reprise of 118; Jiminy opens eyes	Ditto	cut	2
	124	Close up single clock	Ditto	cut	3
	125	Close up Jiminy grimaces	Ditto	cut	3
	126	Close up Owl shaped clock (reading 9.25!)	Ditto	cut	2

	127	Close up Jiminy frontal shot looking to right of frame: eyes move with ticks of clocks	Ditto	cut	2
	128	Close up of two pendulums swinging	Ditto	cut	2
	129	Extreme close up Jiminy's face	Ditto but speeded up	cut	3
	130	Close up two pendulums swinging	Ditto	cut	1
	131	Reprise of 132; Jiminy grimacing, eyes move in time to ticking, shakes head, hears new metallic sound, looks up and to left of frame	Ditto + metallic ticking	cut matched on look	5
	132	Close up of sand hourglass, sand particles dropping through	Ditto	cut	4
	133	Close up Jiminy sits up, puts hat on and pulls it over his ears, looks exasperated	Ditto + Geppetto's snoring	cut	7
	134	Medium shot Geppetto and Figaro in Geppetto's bed sleeping	Ditto	cut	6
	135	Cleo sleeping, blowing bubbles and breathing them in as if snoring	Ditto	cut	3
	136	Jiminy stands on neck of violin and bellows	Jiminy: 'Quiet!'	cut	1
	137	Reprise of 19: clock pendulums speed up and then suddenly stop	Ticking ceases	cut	3
	138	Reprise of 136; Jiminy settles back to sleep Jiminy looks ahead enquiringly ahead, then behind him	Jiminy: 'After all, enough's enough EDM Jiminy: 'Now what's up?'	cut	12

Appendix 3

Table 3.1 Shot analysis of Segment D1 of *Dumbo*

Seg	Shot no.	Contents	Music/song/dialogue	Edit	Dur
D1	1	Medium shot of Dumbo centre frame, Timothy standing on bar of soap left foreground, scrubbing Dumbo's right temple with toothbrush; Dumbo's hat on hook to left of upper part of frame	Clowns, off-screen, voices fading: 'Dumbo, here's plaster in his eyes',	cut	4
	2	Close up Dumbo, Timothy in medium long shot, scrubbing Dumbo, as above. Catches tear from Dumbo's right eye on his brush. Timothy applies tear-containing brush to soap bar	Timothy: 'See, they're drinking a toast to ya Yeah, you're a big hit	cut	8
	3	Medium shot Timothy, centre frame, standing on soap bar, soaping up the toothbrush, partial view of Dumbo in hyper-close up to right of frame	Why, you're terrific	cut	5
	4	Close up of Timothy, smiling, hyper-close up of Dumbo to right of frame Timothy extends both arms	You're colossal, stupendous	cut	3
	5	Medium shot Dumbo with another tear in right eye Timothy jumps from soap onto Dumbo's trunk, tear rolls down Dumbo's face Dumbo lifts Timothy upwards; camera tilts upwards to follow	C'mon, alley oop. I got to wash behind your ears You oughta be proud!	cut	7
	6	Medium close up of Timothy as he jumps from Dumbo's trunk and continues to clean him with his brush	You're a success!' Dumbo sobs	cut	5
	7	Hyper-close up Dumbo's face, tear leaves left eye		cut	2
	8	Medium shot Timothy holding peanut in right hand and his hat in left hand, smile on face	Timothy: 'Look, a peanut!	cut	3
	9	Close up Dumbo. Tear from left eye. Dumbo plucks at leaves of grass	Come on. Eat it. It's got lots of vitamins. It'll give you a lot of pep. Extradiegetic music	cut	8
	10	Medium shot Timothy puts peanut into his hat and hat on his head	I forgot to tell you	cut	5

	11	Close up Dumbo with Timothy on his trunk looking into Dumbo's face and speaking to him. Dumbo raises his trunk and smiles Timothy jumps from trunk to D's head, then into D's hat and Dumbo turns and exits to bottom right of frame	Why, we're going over to see your mother. I made an appointment for ya. Didn't I tell ya Just like me. I must've forgot. C'mon, get yer hat	match dissolve	9
	12	Dumbo (with Timothy in his hat) enters towards left from bottom right of frame from behind a curtain on which their shadow is seen, turns to look to right of frame	Timothy: 'Right over there'	cut	8
	13	Camera tilts up to show rail carriage displayed diagonally; door padlocked with bars instead of a window. Sign reading DANGER suspended from top, reading MAD ELEPHANT nailed to right of carriage; KEEP OFF on front and DANGER KEEP OUT on post in ground to left of carriage, which is surrounded by rope fence and lit by moonlight coming from upper left (outside frame); star lit sky. Dumbo and Timothy (in Dumbo's hat) approach from bottom left of frame, duck under rope fence	Cosy little place, aint it?	cut	6
	14	Closer view of Dumbo approaching from bottom left of frame, puts front feet on carriage and Timothy scampers up his trunk	Extradiegetic music	cut	5
	15	Camera still tilted upwards. Timothy on carriage step on left, calls to right of frame. Leans nonchalantly against barred door frame	Mrs Jumbo I hope she's in'	cut	5
	16	Inside carriage: Mrs Jumbo (coloured blue, with pink hat) seen standing, head to right, looking to left, legs in chains with 'ball' to left of frame Looks upwards in amazement	Timothy whistles 'Someone to see you!'	cut	7
	17	Mrs Jumbo's PoV: looking out through bars, end of Dumbo's trunk appears and feels its way around window sill	Extradiegetic music	cut	5
	18	Hyper-Close up of Mrs Jumbo, filling right side of frame, she lifts her head with a smile and attempts to move to window	Chains rattle	cut	4
	19	Close up of Mrs Jumbo's back two legs enchained	Extradiegetic music	cut	2
	20	Reprise of shot 18; puts her trunk out through the bars	Extradiegetic music	cut	3
	21	Reprise of shot 14; Mrs Jumbo's trunk, above Dumbo's head, reaches down to touch his head repeatedly, and then wraps itself	Extradiegetic music	cut	8

		round Dumbo's head in a cuddle			
	22	**Close up Dumbo's face looking upwards with smile, Mrs Jumbo's trunk around his neck; she withdraws her trunk, sliding it along his as he looks upwards, then she resumes encircling his neck** **Tears roll out of both of Dumbo's eyes. He holds onto and squeezes her trunk. Dumbo flutters his eyes**	**Diegetic music and voice humming; extradiagetic song: 'Baby mine** **don't you cry** **Baby mine**	**cut**	**15**
	23	Medium shot outside carriage, Dumbo sits cradles by his mother's trunk and swings Timothy to right and back again	Dry your eye Rest your head Close to my heart Never to part	cut	15
	24	Medium shot of Timothy standing on hub of wheel, shrugs with pleasure, he sighs	Baby of mine Little one	cut	4
	25	Medium shot Mother Zebra on left of frame, baby zebra on right, heads intertwined	When you play	cut	7
	26	Medium shot Mother Giraffe to right Baby giraffe in front and to left	Don't you mind What they say	cut	7
	27	Medium shot Mother Tiger sleeping with head to left Two cubs suckling, one sitting up stretches and yawns	Let those eyes sparkle and shine never a tear	cut	7
	28	Medium shot Mother Monkey, on trapeze, cradling 3 baby monkeys, fourth holding onto her tail below her, gently swings back and forth	Baby of mine'	cut	6
	29	Wolf with 3 cubs next to her, sighing respiration	humming	cut	6
	30	Camera tilted down at water bath, underwater Mrs Hippo and baby hippo; bubbles coming out of mouths	humming Noise of bubbles popping	cut	7
	31	Medium shot Mother Ostrich with 2 baby ones either side standing with their heads in the sand	humming	cut	5
	32	Medium shot Mother Kangaroo with 1 baby in pouch rocking on bottom like a rocking chair	Humming noise of rocking horse squeaking	cut	8
	33	**Reprise of shot 24; Timothy now looks glum** **Sighs and large tear rolls out of right eye**	**Extradiegetic voice: 'From your head**	**cut**	**9**

			To your toes		
	34	Reprise of shot 23 Timothy seen in long shot walking right to left of frame	Baby mine (voice and chorus) You're so sweet Goodness knows'	cut	9
	35	Medium shot Timothy, back to camera, tries to catch Dumbo's tail	Baby mine	cut	3
	36	Medium shot Dumbo being pulled off his mother's trunk by Timothy	You are so Precious to me	cut	6
	37	Camera tilts up; semi-Close up; Dumbo letting go of his mother's trunk; view of right side of carriage with notice MAD ELEPHANT Both trunks extended, they part. Dumbo moves away to right of frame	Cute as can be Baby of mine Baby mine	cut	9
	38	Medium long shot of Dumbo from behind, waving (to left of frame); star lit sky, circus tent in distance on left of frame; walks away to right of frame	Baby mine'	cut	5
	39	Reprise of shot 20; Mrs Jumbo's trunk waving, then withdrawn, camera pans to right and trunk comes out of side window to wave (above sign reading KEEP OUT). Reverse zoom		fade to black	10

Appendix 4,

Table 4.1 Shot analysis of Segment A of *Bambi*

Seg	shot no.	Contents	Music/song/dialogue	Edit	dur
A1	1	Oblique long shot, forward multiplane pan left to right through dark forest, past waterfall into lake, river, picks up Friend Owl and pan speeds up to follow him to his tree	Choral humming, occasional twittering and whistling from birds	cut	1'.33"
	2	Friend Owl alights on branch, zoom to see him turn away from camera towards entrance to his dwelling	EDM (orchestral music)	cut	3
	3	Walks towards entrance to his home	ditto	cut	1
	4	Turns to face camera, nods head, yawns, camera tilts up to upper branch of tree and finds racoon waking and stretching, rubs face, looks down	ditto, Friend Owl snores	match cut	24
	5	Friend Owl, eyes shut, standing asleep in bowl of tree	ditto	cut	4
	6	Mother racoon stretches, camera tilts down and to left to reveal baby nestling under mother's tail	EDM	cut	5
	7	Closer view of baby racoon lying face down on branch covered by mother's tale, pulls tail over him, camera tilts upwards to see baby sparrows in bird's nest tussling over vine with berries that are then eaten by 3rd chick	EDM	dissolve	24
	8	Tiny wood mouse wakes, forward zoom to show her wash her face in a dew drop	EDM	cut	16
	9	Thumper emerges from hole, stretches, yawns, rubs back against tree, looks upwards (PoV shot)…	EDM	cut	11
	10	To see bluebird darting (Right to Left) through air	EDM (more active music)	cut	5
	11	Alights on tree branch, exchanges looks with birds in the tree, who shush him away. Ambient light increases with the dawn	EDM, birds singing	cut	2
	12	Wood mouse stands on top of his nest, listening to birdsong, as 3 baby wood mice emerge from nest, all looking up and to Left	EDM, birdsong	cut	2
	13	Pond, from which emerge two small beavers, with two behind the pond, all looking up and to left	ditto	Rapid dissolve	1
	14	Thumper at base of tree, joined by his sibs, looking up and to Left, all chase			

		after bluebird which flies (back) across frame from left to right	ditto	cut	5
	15	Mrs Quail, followed by 14 baby quails trailing behind her, moves right to left across centre of frame, while rabbits move in same direction at bottom of frame	ditto	cut	4
	16	Squirrel () and chipmunk (left) on tree branch chewing acorns, see blue bird dart across frame from upper left to lower right, drop acorns and follow	ditto	cut	6
	17	Squirrel, followed by chipmunk, followed by other animals, race across (right to left) the front of Friend Owl's hole, as he continues to sleep outside it. Friend Owl wakes up grumpily. And looks around and down and to the left	EDM and sound of rapid drumming/thumping Thumper (off-screen) shouts: 'Wake up. Wake Up' Friend Owl: 'What now? Oh What now?' Thumper: 'Wake up Friend Owl' Friend Owl: What's going on round here?	cut	9
A2	18	PoV shot: medium close up of Thumper at base of tree, thumping on hollow log, returning gaze up and to the Right. Reverse zoom, reveals Thumpers sibs running right to left Camera pans to right to follow them as they race off	Rabbits: 'Wake up, it's happened. It's happened The new Prince is born We're going to see him Come on. You better hurry up'	cut	9
	19	Medium Shot of Friend Owl, wings apart, looking concerned, flies off from centre frame to right (out of frame)	EDM Birds twittering	cut	4
	20	Long shot, fame within a frame, of animals moving through the woods, camera zooms to follow them through a tunnel of trees etc.	ditto	match cut	4
	21	Slightly to Right of centre frame Bambi's mother, framed by trees, sitting with Bambi curled up in front of her; zoom continues to give Medium shot view	Music stops In-drawing of breath 'Oh. Well…'	rapid dissolve	4
	22	Zoom continues as the sleeping Bambi half fills centre of frame	Look.' Whispering: 'Oh, my, look'	cut	5
	23	Branch of tree, onto which Friend Owl alights and looks down with a smile	Murmuring approval	cut	3

	24	Medium shot; ground level: baby rabbits assemble to look from right to left of frame	Well 'Isn't he cute?'	cut	4
	25	Medium shot. Friend Owl centre frame, looking to right	Friend Owl: 'Well…(chuckles)…this is quite an occasion. Yes sir,	rapid dissolve	5
	26	Medium shot: animals in a circle, seen from side	it isn't every day a prince is born.'	cut	2
	27	Medium shot: animals in a circle, Mrs Bambi's PoV Mrs Goose gets into position (with 9 infants…)	EDM	cut	3
	28	Medium shot. Friend Owl on tree branch Camera tilts down and to left to	Friend Owl: 'You're to be congratulated 'Yes, congratulations 'Yes.' Mrs. Bambi: 'Thank you very much.	cut	1
	30	Medium close up: Mrs Bambi and infant, seen from animals' PoV Bends her head towards Bambi and nuzzles him	'Come on.	cut	10
	31	Close up of Bambi nesting next to mother Bambi opens eyes twice Then lifts head	'Wake up 'We have company.' Animals: 'Hello Hello little Prince	cut	10
	32	Animals in semi-circle watching expectantly Camera pans to Right to show them all	Hello. Hello there Hello little Prince.'	cut	4
	33	Close up Bambi lying in front of mother	Friend Owl hoots	cut	4
	34	Medium close up Friend Owl hooting to get Bambi's attention Pushes head towards Bambi to give PoV of extreme close up	Ditto and laughs	cut	4
	35	Bambi shrinks away from Friend Owl	Friend Owl laughs	cut	3
	36	Close up of Friend Owl looking at Bambi and grinning	Friend Owl laughs, grins and flutters eyelids	cut	2
	37	Medium close up Bambi,	Bambi laughs Animals Laugh	cut	5
	38	Animals looking at Bambi and laughing, Thumper in front	Animals' laughter Thumper: 'Look, he's		

			trying to get up.'	cut	5
	39	Bambi gets up, hind legs first, takes a few steps to his right. Thumper walks behind and underneath him	EDM Thumper: 'Kinda wobbly, isn't he?'	cut	23
	40	Medium shot Mrs Rabbit in front of her family	Mrs Rabbit: 'Thumper!'	cut	3
	41	Medium shot Thumper looking embarrassed	Thumper, slowly and quietly: 'Well, he is.'	cut	5
	42	Bambi standing and looking down at Thumper. Answers with a bleat which knocks Thumper over	Thumper: Aren't ya?' Animals laugh	cut	8
	43	Medium long shot of Friend Owl on tree branch, speaks to no one in particular	Friend Owl: 'Looks to me like he's getting kind of sleepy.'	cut	4
	44	MLS Bambi back nestling into mother, yawns	Sound of Bambi yawning	cut	4
	45	Reprise of 43	Friend Owl: 'I think it's time we all left.'	cut	2
	46	Mrs Goose with line of gosling, together with assorted animals, exit to right of frame		cut	4
	47	Medium shot tree branch, racoons and squirrels leave; camera tilts upwards to show close up of Friend Owl (upper Left of frame) remonstrating with tiny wood mouse	Friend Owl: 'Come on shoo-shoo Psst	cut	4
	48	Medium shot of 4 chicks on tree branch, Friend Owl in close up in upper left of frame. They back away to right	Psst.'	cut	5
	49	Mother Rabbit leaves to right, turns round to look at Thumper and Bambi	EDM	cut	6
	50	Mrs Rabbit's PoV: Medium shot Thumper looking into Bambi's mouth	EDM Mrs Rabbit: 'Ahem, Thumper, come on.'	cut	4
	51	Medium shot Thumper leaves, pauses and turns back to face Mrs Bambi (her PoV)	EDM Thumper: 'Watcha gonna call him?	cut	6
	52	Medium shot of Mrs Bambi with Bambi nestling and asleep next to her (Thumper's PoV)	EDM Mrs Bambi: 'Well, I think I'll call him Bambi.'	cut	4
	53	Medium long shot of Thumper facing Mrs Bambi Turns and runs to right	EDM Thumper: 'Bambi Yep. I guess that'll do alright.'	cut	7
	54	Medium shot Mrs Bambi nuzzles the sleeping fawn Reverse zoom shows them framed by trees	EDM		

		Camera tilts up and to the Right to show The Prince (Bambi's father) standing proudly on a rock, framed by trees, lit from behind	Mrs Bambi.: 'Bambi, my little Bambi.'	fade to black	24

Table 4.2 Shot analysis of Segment D5 of *Bambi*

D.5	1	Medium shot patch of green shoots coming through the earth, surrounded by snow, background light is lighter	Mother (off frame): 'Bambi Bambi.	cut	4
	2	Medium shot side view of Mother standing, silhouetted against light blue sky, facing to left Bambi runs in from outside of (left) frame	Come here Look.	cut	3
	3	Close up Bambi arches back excitedly, eyes and mouth wide open		cut	2
	4	Reprise of shot 11 but closer (Bambi and Mother's PoV) Bambi enters frame from left and starts to eat grass Mother's head appears from right of frame and eats grass too	New spring grass.'	cut	6
	5	Long shot Bambi and Mother, centre frame, eating from patch of grass in a snow field, forward zoom	EDM takes on an insistent and threatening quality	cut	4
	6	Close up side view of Mother's head with neck twisted to allow her to look to right, then turns to right, listening carefully, back again to right	Ditto Mother: 'Bambi	cut	6
	7	Medium shot Bambi feeding to left of frame, Mother standing on alert, to right of frame Bambi turns and runs out of left frame, Mother leaps out of left side of frame	Quick! The thicket!'	match cut	4
	8	Long shot Bambi running diagonally from bottom right of frame, across snow field criss-crossed by river (in reverse diagonal), leaps the river Mother enters frame from right chasing after Bambi. Mother leaps over river	Gunshot	match cut	3
	9	Long shot Bambi and then Mother come into frame from bottom right and run across to left	Mother: 'Faster! Faster, Bambi	match cut	3
	10	Long shot Bambi comes into right of frame half way up, passes small thicket and looks back as he is running	Don't look back!	ditto	1
	11	Long shot Mother racing right to left	Keep running!	ditto	2
	12	Reprise of shot 20: Bambi racing to left, snow spews up so we can't see him	Keep running!'	ditto	4
	13	Long shot Bambi racing across snow-covered hillocks, followed by mother, both leave left of frame	EDM only	ditto	3
	14	Long shot Bambi leaving snow field and entering pathway with shoulders and trees, darkness in distance; Bambi clears the pathway and camera looks at empty pathway	Gunshot EDM	ditto	3

	15	Long shot Bambi running through forest, right to left	EDM	dissolve	2
	16	Medium long shot Bambi turns to right around a large tree and goes down a zigzag pathway (bounded by large trees) to left	EDM	match cut on action	3
	17	Bambi runs from right through a dark tunnel in the woods; leaves left of frame and then returns into frame to look out to right of frame (light blue sky). Walks forward (to right) in trepidation	Bambi: 'We made it! We made it, Mother.' (pants) We… Mother!	cut on action	10
	18	Bambi slowly emerges from snow-covered thicket to right. Trees in foreground on right. It is snowing. He calls. Turns to his right and walks slowly	Silence Then EDM. Bambi: 'Mother' EDM	cut	11
	19	Bambi walks towards left of frame, framed by huge trees, snowflakes enlarge, he turns to right	Mother, where are you? EDM	match cut	7
	20	Bambi, bottom of frame, dwarfed by huge trees, runs into frame, turns right and left, searching. Becomes hidden by increasing number and size of snowflakes	Mother! Mother!'	cut	19
	21	Closer view of an inverted V shaped clearing, suffused with blue light, bounded by dark tree trunks on both sides. Forward zoom eventually reveals tiny figure of Bambi darting around	Soft EDM	cut	6
	22	MCU Bambi silhouetted against snow, running left to right, stops, partly behind tree Walks to right, towards camera so image enlarges to close up Startled, he stops suddenly, straightens legs in fear and looks upwards. Thick snow falling	Soft EDM Bambi: 'Mother!' sobs (slight echo) Silence) Bambi gasps	cut	9
	23	Zoom to close up of Great Prince (Bambi's father) in falling snow	Prince: 'Your mother…	cut	4
	24	MCU Bambi, listening in silence, snow falling	…can't be with you anymore.'	cut	8
	25	Reprise of shot 33	silence	cut	6
	26	CU Reprise of shot 34. Bambi raises head. Tear rolls down right eye	Silence. Soft EDM Father: 'Come'	cut	5
	27	Medium long shot: Bambi on left, dwarfed by father on right gazing at each other. They walk away from camera. Bambi turns to look back (towards camera), then turns back to follow his father into distance	EDM Prince: 'My son.'	fade to black	17